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ABSTRACT

The sixth annual comprehensive evaluation report of the U.S. Office of Education (OE) reviews approximately 90 programs administered by OE as of September 30, 1976. It updates the information in the fiscal year 1975 report by incorporating the results of evaluation studies completed during FY 1976 as well as additional information obtained from program operations and monitoring activities. Elementary and secondary education, post secondary education, handicapped and special education, vocational and adult education, and developmental programs are described. Each program report outlines funding history, program goals and objectives, program operations, program scope, program effectiveness and current progress, and ongoing as well as planned evaluation studies. A discussion of the impact of evaluation findings on federal decision making, a progress report on the implementation of Title I evaluation requirements, a summary of current planning and evaluation contracts, and a report on the status of reports mandated by Congress are also included. (Author/GDC)

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Annual Evaluation Report on Programs Administered by the U.S. Office of Education

Fiscal Year 1976

TM006 572

U.S. Department of
Health, Education, and Welfare
Office of Education
Office of Planning, Budgeting
and Evaluation

ANNUAL EVALUATION REPORT ON PROGRAMS ADMINISTERED BY THE U.S. OFFICE OF EDUCATION

FY 1976

PREPARED BY THE OFFICE OF PLANNING, BUDGETING, AND EVALUATION, OFFICE OF EDUCATION

DEPARTMENT OF HEALTH, EDUCATION AND WELFARE, WASHINGTON, D.C.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS: FY 1976

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PREFACE

This is the sixth Annual Evaluation Report submitted to the Congress by the Secretary of Health, Education, and Welfare on behalf of the U.S. Office of Education (OE). Prepared by OE's Office of Planning, Budgeting, and Evaluation, it reviews approximately 90 programs administered by OE, and provides for nearly all programs:

- a brief funding history;
- a description of program goals and objectives;
- a review of program operations;
- an analysis of program scope;
- a report on program effectiveness and progress;
- a listing of ongoing and planned evaluation studies.

Formal evaluations have not been carried out on many of the OE programs. For those, the historical information on legislation and budget, the descriptive information on program activities, and a list of ongoing evaluation studies are provided. As the evaluations are completed, summaries of their findings are added to the report. Thus the report constitutes an annual updating of the accumulating evaluation knowledge about the effectiveness of OE programs.

A major section in this year's report, entitled "Uses of Evaluation Studies," addresses the important question of what effect do the findings of evaluation studies have on program-policy and program-management decisions, on budget levels, and on legislative proposals and actions?

It is our hope and expectation that this Annual Evaluation Report will provide useful information to the Congress and to the agencies of the Executive branch, to State and local policymakers, journalists, educational practitioners, and researchers everywhere. For those of you who do make use of the Report, I welcome any suggestions for improvement.

John W. Evans
Assistant Commissioner
Office of Planning, Budgeting,
and Evaluation
U.S. Office of Education

Annual Evaluation Report on Programs Administered by the U.S. Office of Education

A. Introduction

Section 417 of the General Education Provisions Act, as amended by P.L. 93-380 dated August 21, 1974 requires that, "...the Secretary shall transmit to the Committee on Education and Labor of the House of Representatives and the Committee on Labor and Public Welfare of the Senate, an annual evaluation report which evaluates the effectiveness of applicable programs in achieving their legislated purposes..."

This report is the sixth annual comprehensive evaluation report. It updates the information in the FY 1975 report by incorporating the results of evaluation studies completed during FY 1976 as well as additional information obtained from program operations and monitoring activities.* It also provides detail and specificity on program goals and objectives, discusses progress towards meeting these goals and objectives, identifies the principal studies supporting the conclusions about program effectiveness, and briefly describes each evaluation contract negotiated or in process during FY 1976.

In addition, this annual report incorporates the annual reports required in P.L. 93-380 by:

- Section 151 - ESEA Title I
- Section 731 - Reading Improvement Program
- Section 841(a)(7) - Bilingual Vocational Program

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* It should be noted that the report covers Office of Education programs as of September 30, 1976. Budgetary, legislative, program revisions and new evaluation data subsequent to that date are not included.

Because not all programs have yet been the subject of formal evaluations, effectiveness information has varying degrees of "hardness" and objectivity. The best and most objective effectiveness data result from completed formal evaluation studies. The sources of these data are varied and represent the efforts of many units within the Office of Education as well as some organizations outside of OE. These include evaluation studies by OPBE and various contractors, data compiled by NCES, data from program managers, data from HEW Audit Agency, GAO reports, data from State and local agencies, etc. In such cases as a financial-support program or a newly funded program, little can be said about effectiveness. In all cases every effort has been made to be factual, objective, and candid.

B. Amounts Obligated for Evaluation Contracts in OE since Fiscal Year 1970

Systematic, comprehensive evaluation of Federal education programs dates back to the summer of calendar year 1970. Primarily, this was due to the lack of appropriated funds for evaluation as well as technically qualified evaluation staff. The FY 1970 appropriation of $9.5 million was the first significant funding made available for the evaluation of OE-administered programs. The following table shows the amounts obligated for evaluation contracting in OE since Fiscal Year 1970:

AMOUNTS OBLIGATED FOR EVALUATION CONTRACTS IN OE
(In millions of dollars by fiscal year)

Authority	1970	1971	1972	1973	1974	1975	1976	(Est.) 1977
Planning and Evaluation	9.7	12.4	12.5	10.9	5.5	6.9	6.4	6.5
Follow Through	4.0	6.2	2.8	3.9	3.1	2.4	2.3	1.0
Emergency School Assistance	-	1.3	.9	3.4	2.5	2.3	1.7	2.2
Labor Dept.	-	.2	-	.2	-	-	-	-
S&E	-	-	-	.6	-	.5	-	-
Title I (Sec. 151 & 417)	-	-	-	-	-	4.0	4.5	5.0
Career Ed	-	-	-	-	-	.3	-	.3
PIP's	-	-	-	-	-	1.2	.9	1.6
BEOG's	-	-	-	-	-	.2	.3	.3
Right to Read	-	-	-	-	-	-	.2	.3
Community Ed	-	-	-	-	-	-	-	.1
Voc Ed (Sex Stereotyping)	-	-	-	-	-	-	-	.8
	13.7	20.1	16.2	18.9	11.1	17.8	16.2	18.1

Individual items may not add to totals because of rounding.

These sums, though substantial, represent less than 3 tenths of one percent of the total annual program appropriations.

C. Evaluation Strategy of the Office of Planning, Budgeting and Evaluation

The U.S. Office of education (OE) is responsible for administering or monitoring approximately 100 programs which provide teachers and other staff, funds, materials, training activities, and technical assistance in support of all levels of public and private education across the country. In carrying out its responsibilities, OE spent approximately $8 billion during Fiscal Year 1976, employed approximately 2,200 at headquarters in Washington, D.C. and approximately 900 persons at its 10 regional offices. More important, OE programs and resources have affected the activities of more than 2 million teachers and administrators at all levels of education, and the learning experiences of a high percentage of the nearly 72 million persons, young and no longer young, who were the clients of America's educational institutions.

Most of OE's programs, in terms of numbers of programs and projects, numbers of student and teacher participants, and numbers of dollars spent, are directed at persons who may be generally defined as "disadvantaged." The term applies to children and adults who typically do not or cannot succeed in the traditional educational system and programs. The causes of these difficulties are many and are often reinforcing. Physical or mental handicaps which are clinically definable require special programs and services, often supported with federal funds, to enable the handicapped person to acquire appropriate knowledge and skills towards as satisfying and self-supporting a life as possible. A background of poverty, isolation as a member of a minority ethnic or linguistic group, and of early failure at school, frequently results in patterns of accelerating failure, withdrawal from school, unemployment or a series of low-paying, low-prestige jobs and difficulties in continuing one's education or in gaining access to the formal educational system in later years. Here again, the federal response has been to create special programs and services designed to assist the economically or educationally disadvantaged person to stay in school, to receive greater benefits from the educational system as indicated by improved achievement, motivation, and attitudes, to overcome the financial barriers to postsecondary education, or to re-enter the system whenever appropriate. Here again, the intention is to help people acquire knowledge and skills to maximum of their learning potential and interest, towards as satisfying and useful a life as possible.

Given the wide financial and human impact of OE's programs, these important questions emerge as the basis for OE's evaluation strategy:

1. What effect do specific federal programs in education have upon their student and professional participants?

2. What improvements should be made in the management and administration of those programs at the federal, state, local and institutional levels towards a more beneficial effect at specified levels of dollar investment upon student and professional participants?
3. What improvements may be made, at state and local option, in the instructional techniques and materials and in staff-training activities towards a more beneficial effect at specified levels of dollar investment upon student and professional participants?
4. What effective projects, products, procedures and practices have been developed in the field with the support of federal funds and which should be disseminated, at state, local and institutional option, towards a more beneficial effect upon student and professional participants?
5. What improvements may be made in the delivery of financial aid and other services to students to increase their entrance and retention rates in postsecondary education?
6. What improvements should be made in evaluation itself at the federal, state, local and institutional levels so that all participants in the educational system may better understand the workings and the effect of their programs and projects, and may take action to improve those activities?

With these questions to answer and within the limits of staff and funds available to answer them, the evaluation strategy in years past has emphasized "impact" studies which are designed to measure the effect of programs and projects upon participants. Such studies will continue to be the major component of the OE evaluation strategy, because of the information they provide to the Congress and to the Executive Branch on program management, in project instructional activities, and on particularly effective activities that could be disseminated to others. In OE's Evaluation Plan for Fiscal Year 1977, however, there will be an increased emphasis on activities designed primarily to meet the needs of state and local program managers, teachers, school boards and parent associations.

In summary, OPBE's evaluation strategy includes implementation of Congressional mandates, conduct of program impact studies, meeting information needs of OE program managers, provision of technical assistance in evaluation to the field, and studies to identify effective program services, practices or projects for improvement of program operations and for dissemination to the field.

D. Highlights of Studies Completed during Fiscal Year 1976

Study of Compensatory Reading Projects

This study focused on reading projects, most of which were funded by Title I of the Elementary and Secondary Education Act of 1965.

The objectives of the study were:

1. To obtain a detailed description of compensatory reading practices throughout the nation in grades 2, 4, and 6;
2. To determine how such practices were related to student reading improvement;
3. To obtain a detailed description of those practices that were found to be associated with unusual project effectiveness.

The results show that in schools that receive compensatory funds, the most educationally needy students receive additional help in overcoming their reading problems. Students who received this extra assistance tended not to fall further behind in their reading skills and in their liking for reading and favorable feelings about themselves as readers. Further, for some of the reading tests used, compensatory students tended to catch up slightly with their more advantaged peers. These results can be contrasted with those from earlier studies, which showed that disadvantaged students without compensatory assistance fell progressively further behind in their reading skills and became more fatalistic about their ability to improve their life circumstances through education. A limited number of unusually effective programs were identified which had in common a set of planning and management activities. Finally, the extent to which the improvement a compensatory student makes in one school year holds up over the summer months and in subsequent years is unknown but is the focus of a current study.

The Impact of Educational Innovation on Student Performance

This study was concerned with whether or not intensive, innovative approaches to instruction in the elementary and secondary grades resulted in pronounced student improvement in the basic skill areas of reading, language and mathematics.

To answer this question an extensive search was conducted which resulted in the selection of thirteen school districts that met the criteria of "innovation". Students participating in these activities were followed for a three-year period to see how their performance in basic skills might improve when compared to similar students in more traditional approaches. The study found that neither of the two main ways in which these approaches differed, i.e., level of innovation and degree of individualization of instruction, were substantially related to improvement in student achievement. This was so for students in different socioeconomic backgrounds and entering levels of achievement. Hence, a substantial departure from traditional classroom approaches to instruction does not insure substantial student improvement. However, substantial student improvement in reading and language was observed in the lower grades and was found to be related to the amount of classroom time devoted to the subject during the school year. The latter relationship was not observed for mathematics. Such results suggested that the greatest improvement in basic skills may come from an increased attention to these areas in the early elementary grades.

Revision of First Six Project Information Packages

The first six Project Information Packages, each describing an exemplary ESEA, Title I, compensatory reading and/or math project, were revised on the basis of the first year of a field try out of the materials in 19 project sites across the country. USOE is now in the process of disseminating the revised packages nationwide. Eight diffusion contractors have been hired specificially to present the packaged projects to the educational community and to facilitate adoption of the projects in school districts throughout the country. To date, at least thirty school districts have indicated that they intend to use the packaged materials to implement one of the six projects in school year 1977-78. As new school districts learn about this cost effective method of installing new educational approaches, we expect many more adoptions of the packaged approaches. With this goal in mind, six additional compensatory reading projects, and four bilingual education projects (three Spanish-English projects and one French-English project), have been packaged and will undergo a field try out prior to wide-scale dissemination.

Conditions and Practices of Effective School Desegregation

The report by the Educational Testing Service identified several specific school practices and policies that are effective in improving race relations among students. They include the use of multiracial curriculum materials, teaching of minority group history and culture, open classroom discussions on race, and assignment of black and white students to work together and to play together in organized activities. The research, conducted over a period of two school years, also found that high schools which have good race relations tend to have principals who are evaluated highly by teachers. These principals are supportive of both black and white teachers. Schools have better race relations among students when teachers, administrators and students communicate support for integration. Ways of building such a supportive school environment and detailed examples of the types of effective school practices and policies listed above are presented in the publication _A Handbook for Integrated Schooling_. This pamphlet is a practical guide to school desegregation intended for principals and teachers. Many of these practices and policies do not involve substantial or continuing expenditures.

Career Education in the Public Schools, 1974-75: A National Survey

This mandated survey was forwarded to the Congress in May 1976. Its purpose was to determine the kinds and amounts of career education activities in process in the public schools of the United States. The general conclusion was that, although interest in career education was widespread, broad implementation had just begun. The nine career education learner outcomes set forth in the USOE policy statement were all rated "important" or "absolutely necessary" by local school districts, but 60% of them said that their activities in this area were "limited" for the present. Although 52% of the nation's students were in districts where at least one of 15 major career education activities was broadly implemented, only a fifth (21%) were in districts where over half of the 15 activities were well established.

More than half (57%) of the nation's school districts were carrying on some form of career education staff development, and this was the most frequently used form of career education implementation. More than two-thirds (69%) of the nation's 45 million students were in districts in which there were such efforts.

Most States (42) have adopted a formal, written career education policy, but only 27 of these include a plan for organizing career education activities. Over a third (18) of the States reported having advisory councils, but only 9 had passed legislation on career education. Full-time coordinators were found in about half (28) of the States.

In institutions of higher education, career education was being actively discussed in most schools of education, but actual adoption of its objectives was still under consideration. Although 28 institutions offered career education majors in degree programs, the great majority handled it through special units in other courses.

The flow of career education materials is substantial. In this survey, 797 commercial materials produced since 1972 were evaluated. There were 2,193 non-commercial materials, produced mostly since 1974, which were catalogued, and a sample of 90 were evaluated. Both evaluations showed a lack of concern for students with special needs, and there were instances of sex and ethnic group bias, mostly in commerical materials.

This survey has been used by the National Advisory Council on Career Education as a basis for formulating the recommendations it will make to the Congress. The data are also relevant to H.R. 7, a Bill to authorize a career education program for elementary and secondary schools, and for other purposes, introduced by Congressman Carl Perkins on January 4, 1977.

An Assessment of School-Supervised Work Education Programs, Part II

The purpose of the study was to determine the post-program experiences of both participants and nonparticipants of work education programs first interviewed in Part I of the study. Additionally, the effectiveness of cooperative education programs located in urban areas was assessed. The followup study shows that postsecondary programs which train students for specific occupational areas were the most successful of those studied.

Minority and women graduates of these programs were earning higher wages and working more regularly than their respective comparison groups. The followup study also indicates that although the attitudes of high school work education participants were much more positive than nonparticipants while they were in school, two years later little difference in outcomes was found between the two groups. Furthermore, the outcomes for high school participants, in terms of current employment status, past year employment stability, wage levels and job satisfaction, were about the same as for those vocational students who did not participate in work education programs even though the first jobs obtained by participants paid higher wages than were paid the nonparticipants. The assessment of urban programs shows that the attitudes of postsecondary cooperative participants toward their programs, and the wages they were earning on the job, were more positive and higher, respectively, than those of secondary programs.

An Assessment of Vocational Education Programs for Handicapped Students:

The study reviewed the operation and administration of the Part B setaside for handicapped in 25 States; about 92 projects were visited for project level assessments. A total of 1,000 students and parent interviews were conducted in five of the sample States, 681 with students currently enrolled and 320 with students who had completed projects. A sample of participating and nonparticipating employers were also interviewed.

Findings indicate that the setaside resulted in projects which would have never occurred without such legislation, and that about 93 percent of the funds were used to provide direct services to students. Although costs and outcome data were seriously deficient at the State and local level, data that was available, together with the case study interviews of students and parents, indicate that the program is working well. Costs per student and completer were not excessive and placement rates ranged from 40 to 60 percent for completers. About 33 percent re-enrolled in school, and only about 15 percent of the completers were unemployed. However, few examples of individualized instruction were found and about 70% of the students enrolled were in "special" classes. Two-thirds of the training provided under the setaside programs was in nonskills training, that is training not intended to prepare students to compete in the open labor market in a given skill, craft or trade. Of those enrolled in skills training, the vast majority were in trade and industrial courses, mainly for men.

The occupational offerings for women were extremely narrow, being mainly confined to nongainful home economics and health occupations. However, case study interviews indicated that both students and parents expressed extremely favorable attitudes toward the projects in which they or their children were enrolled. Participant employers rated the performance of handicapped students highly.

Assessment of The State Agency Component of The Right-to-Read Program

The rationale for supporting the State Component of the Right-to-Read Program has always been one of providing money which would assist State educational agencies (SEA's) in disseminating the Right-to-Read strategy among the local education agencies (LEA's) within their jurisdictions.

The results of the case study portion of this study, summarized below, indicate that the approach taken by Federal administrators responsible for the State Component of the Right-to-Read Program appears to have been successful in that the programs have achieved meaningful effects utilizing a relatively modest amount of money.

- State Right to Read Programs have made considerable efforts to involve large numbers of local districts in Right to Read.
- Training has been a major focus in the State Right to Read Programs. The number of hours of training provided to local district Directors has varied from at least 30 to more than 200.
- Data indicated that Right to Read will continue in many States even in the absence of Federal funds.
- While Right to Read programs have been implemented to at least a minimal degree across grade levels, the major programmatic focus of Right to Read has been at the elementary level.
- Reading has been established as a top priority in State Education Agencies and in Local Education Agencies.

It should be noted that none of these outcomes relate directly to reading achievement on the part of students. The reason for this is that this study was designed solely to assess the type and level of activities which have been fostered by the State Component of Right-to-Read funding.

A Study for Federal Eligibility and Consumer Protection Strategies

The purpose of this study was to develop a set of reporting instruments assessing private and public postsecondary institutional activities in the light of the U.S. Office of Education's Accreditation and Institutional Eligibility Staff's mandates. Moreover, it will provide information for the student consumer to help in his/her selection of an institution which will best suit his/her educational objectives. Additionally, the quantitative and qualitative criteria developed from the study will be useful to the needs of agencies involved in the regulatory process of institutional eligibility, and student consumer practices.

Analysis of GSLP Data Base

Seven separate but related analytical projects focused upon a further examination of borrower and defaulter characteristics and the identification and profiling of the characteristics of high-default rate institutions. These analyses will further extend our ability to draw inferences from the large GSLP data base with respect to utilization of the program and certain patterns of abuse by individual borrowers, schools, and lending institutions. Included in these new data base analyses are all loan disbursements and claims between June 30, 1973 (chronological limit of prior data base) and December 31, 1974.

Evaluation of the Upward Bound Program

This evaluation, began in school year 1973-74, with data being collected from a sample of 54 Upward Bound (UB) projects, 3,710 UB students, and 2,340 comparison students of similar backgrounds who did not participate in the program. The major findings include: UB is serving appropriate kinds of students; UB students did not show an increased rate of high school completion, but the completion rate was about 70 percent for both the UB and comparison students; UB does appear to be increasing entry into postsecondary education (PSE) with 71 percent of the 1974 UB graduates entering PSE, but only 47 percent of the comparison students entering PSE; the rate of entry was positively related to length of participation in UB; most UB graduates who entered PSE enrolled in four year colleges; the comparison students entered two-year and non-collegiate institutions more than did the UB graduates; UB students applied more often for student financial aid and received larger awards than did the comparison group.

Design of GSLP Data Base

The current Loan Estimation Model uses for projection purposes, a large, randomly selected sample of one million borrowers and 70,000 defaulters. Such large samples are costly to run and must be utilized for inquiry into even simple relationships among data. Design of a new data base specifically for research pruposes and utilization of keyboard consoles will result in a greatly accelerated query-response capability.

E. Uses of Evaluation Studies

While the design and conduct of good evaluations is difficult, costly, and time consuming, the application of evaluation findings is an even harder thing to accomplish. Evaluation findings must be intricately timed with policy, budget, and legislative processes in order to influence them. There is inevitable resistance to accepting critical judgments about programs, and great difficulty in overcoming the inertia of established practice in attempting to make change. Nevertheless, an increasing number of the evaluations begun since the OE evaluation program became a serious effort are now coming to completion, and there are indications that some evaluations are having an influence upon decisions about programs, budgets, and legislated authorities.

1. Several recently completed studies indicate that compensatory education is beginning to have a positive impact on disadvantaged children in that there is fairly widespread evidence of improvements in basic skills which can be attributed to programs like ESEA Title I and ESAA. Though the educational problems of disadvantaged children are far from solved, the new evidence does constitute a pronounced shift in the outlook. As such, the results are being used in support of budgets for compensatory education programs. They also provide a basis for continued emphasis on classroom activities directly aimed at improving basic skills in reading and mathematics.

2. A study of the ESEA Title VII bilingual program found that two major problem areas in bilingual education are a severe shortage of trained teachers and a perceived lack at the project level of adequate bilingual curricular materials. These findings have resulted in an increased emphasis on staff development and training and on development of curricular materials. The proposed budgets in bilingual education reflect this "capacity building" thrust in the allocations for these two categories of activities.

3. A Study of the Title I Migrant Education Program emphasized problems in the current fund-allocation formula and procedure, providing impetus to the conversion to data in the Migrant Student Record Transfer System as the basis for full allocation, That conversion, recommended by the study and authorized by P.L. 93-380, was subsequently approved by OE.

4. A study of assistance for school desegregation (National Opinion Research Center, Southern Schools: An Evaluation of the Effects of the Emergency School Assistance Program and of School Desegregation) indicated that human-relations programs in schools were effective in improving the attitudes toward integration of urban white students. In addition, black student achievement test scores were higher in schools where white students had more positive attitudes toward integration. As a result of the study, steps were taken to increase the funding of human relations activities under the Emergency School Aid Act. The Regional Offices were informed of the results and were asked (through formal memoranda and through ESAA training sessions) to

encourage applicants to include human-relations components in their ESAA grant proposals. In addition, the Commissioner of Education approved a Policy Implications Memorandum (PIM) recommendation "to use administrative action to increase the relative emphasis on human relations activities to some proportion (such as 30%) of funds."

5. Another evaluation of school desegregation also supports human relations programs and other methods of teaching for effective race relations. One report of this study, A Handbook for Integrated Schooling, is a non-technical practical guide intended primarily for principals and teachers. It provides illustrations of specific practices and policies as well as suggesting ways of building a school environment that is supportive of school desegregation. By March 1977, 11,500 copies of the Handbook had been distributed.

6. A number of studies contributed to the development of two budget projection models. These include (1) the BEOG Enrollment/Student Aid Model and (2) the GSLP Loan Flow Model (which projects interest subsidy and defaults) over the past five years. These models were developed to study the impact of alternative student-aid programs by simulating program costs, by estimating impact on participants, and a variety of other planning and analytical purposes. More specifically:

(1)The BEOG Enrollment/Student Aid Model was used by both the Administration and Congress to project the estimated costs and benefits of the Basic Grant Program during the hearings for the Higher Education Amendments of 1972 and 1976 and for subsequent budget submissions and planning activities.

The GSLP Loan Flow Model, which was preceded by a historical analysis of program operations, has been used to:

(a) Identify the potential magnitude of the default problems under specified assumptions of changes in program operations, management, and staffing.

(b) Estimate the level of interest and default subsidy necessary for budget purposes.

(c) Identify the characteristics of the default experience by institutions, lenders, and borrowers.

7. A study of the Guaranteed Student Loan Program recommended that the GSLP Special Allowance paid to banks vary directly for each fiscal quarter with the latest 90-day average of either 91 - or 180-day Treasury bills. That study, and the Survey of Lenders in the Guaranteed Student Loan Program, both showed conclusively that lenders were receiving low net yields (or losses) from their participation in GSLP. These findings appear to be directly related to the increase in the maximum Special Allowance from 3.0 to 5.0 percent beginning in FY 1978, as mandated in the 1976 Higher Education Amendments. As a result, lenders would be able to maintain profit margins on

these loans during periods of very high interest rates when the "formula" would result in a Special Allowance above the current 3.0 percent ceiling.

The Survey of Lenders indicated, as one of its findings, the difficulties which commerical lenders experienced in obtaining current information (including addressees) from educational institutions on the status of borrowers. This finding can be related to a new provision in the 1976 Higher Education Amendments which authorizes a $10 fee per borrower to be paid to the educational institution as an "administrative allowance" for provision of timely information to lenders.

Both studies indicated that a primary dissatisfaction of lenders was with the delays in payment of claims by USOE, and with the concomitant lack of a provision for payment of interest to the lender during the period after the claim is submitted but before it is paid. The 1976 Higher Education Amendments remedy this situation by providing payment of interest during the period of delay in payment of interest billings. The 1976 Amendments provide for OE payments to a lender of daily penalty interest for any period of delayed payment exceeding 31 days after receipt of an interest billing.

8. Findings of A Study of Accreditation and Institutional Eligibility have been made available to the Federal Trade Commission and to several Congressional committees. This study has promoted an understanding of the process for establishing institutional eligibility for Federal programs and the limitations of using that process. New FTC regulations relating

to proprietary institutions were developed in part on the basis of findings from this study. New legislation has been passed which is quite consistent with the spirit of the recommendations in the report regarding eligibility of institutions for participation in all student-aid programs.

9. A reanalysis and synthesis of evaluation data for state programs under ESEA Title I during the period of Fiscal Years 1965 through 1970 led to a number of recommendations regarding program policy, budgeting and management. These recommendations were incorporated into a Policy Implications Memorandum which became an executive document upon signature by the Commissioner of Education in December 1972. Study recommendations were also the basis for subsequent development of the "Packaging and Dissemination" Program referred to later in this section and in Section F of this Report.

10. The report on Career Education in the Public Schools, 1974-75: A National Survey, published in May 1976, was done at the request of the Congress. It has been used by the National Advisory Council for Career Education as the foundation of the recommendations formulated by the Council and shortly to be sent to the Congress. These data will be cited again by Council members and others in testifying on the House bill on career education.

11. As a result of some early findings in an "Exemplary Projects" evaluation in career education, work was initiated

on a handbook to help practitioners evaluate these and other projects associated with career education. All Project Directors received copies of the first draft of the handbook, entitled A Functional Guide to Evaluating Career Education. Of the 20 reports of third-party evaluations available in September 1975, all showed clear evidence that the handbook was used. The revised version was distributed to Directors of all career education demonstrations initiated in June 1976 by the Office of Career Education. In addition, the National Institute of Education is utilizing information on instrumentation which was gathered during the development of the Functional Guide.

12. OPBE's Assessment of Vocational Education Programs for Handicapped Students which reviewed 25 States, and the GAO study of vocational education programs in seven states, were completed during 1975 and both were circulated widely in Congressional Committees. Both studies addressed in detail the administrative problems inherent in the existing system and described how States set priorities and allocate funds. Planning was reported as usually short-term and generally directed toward justifying certain projects. Lack of adequate management information inhibited planning and resulted in inadequate monitoring and evaluation at the State and local levels. In the 1976 Amendments to the Vocational Education Act of 1963, Congress requires and authorizes funds for planning efforts at the State level, and mandates program planning and accountability efforts aimed at improving evaluation

at the Federal, State and local levels. The 1976 Amendments also require the development of a national vocational education reporting and accounting system.

13. During the final analysis phase of the Assessment of Vocational Education Programs for Disadvantaged Students, an intense effort was made to disseminate preliminary findings. During August 1976, a special interim report was sent to Congress on the status of the legal definition of "disadvantaged students" and its effect on how the program was administered. Preliminary study findings were thus available to the Congress during the drafting of P.L. 94-482, the Education Amendments of 1976.

14. On the basis of the Evaluation of the Exemplary Vocational Education Projects Program, Part D, VEA, USOE identified seven major areas in the FY 1976 Proposed Rules and Regulations for the Program designed to correct weaknesses noted in the report. The study found that there were management problems at both the federal and local levels which account for a lack of impact in most of the projects. The Program had been in operation only three years when the evaluation was done, and the immediate response through specific changes in operating procedures reflects fairly rapid utilization of evaluation results in a developing program.

15. The findings of an evaluation of the Community-Based Right-to-Read Program made significant contributions to the guidelines for the establishment of reading academies for adult illiterates.

Legislative provision for such academies is found in Section 723, Title VII, P.L. 93-380. Several major findings of the study are now encompassed in program guidelines.

16. A study of the ESEA Title I allocation formula during 1972-73 forced consideration of the hard trade-offs involved in changing the formula or leaving it alone. Many alternative computations were provided Congressional Committees in their considerations of P.L. 93-380 (the Education Amendments of 1974) and the study did have an influence on the final legislation.

17. USOE has conducted several evaluations of performance contracting and of the use of incentives in elementary education. These studies had generally negative findings (with a few exceptions) in the sense of demonstrating educationally insignificant gains in student achievement resulting from these approaches. The findings were widely disseminated and served to dampen a growing but unwarranted enthusiasm in the educational community for these approaches. It is likely that, without these studies, many school systems would have initiated performance contracting and/or incentive projects.

18. The Analysis of Relationships Between Achievement Gains and Per Pupil Expenditures failed to find evidence for the fairly wide-held notion that a fixed dollar amount (e.g., $300 per pupil) of compensatory education funds is necessary for significant education achievement gains among disadvantaged

students. The study resulted in a Policy Implications Memorandum to the Secretary of HEW which recommended that the Department no longer promote the "critical mass" position.

19. The findings and recommendations from The Federal Role in Funding Children's Television Programming have evoked wide interest in the field. The National Association of Educational Broadcasters (NAEB) awarded the 1975 NAEB Book Award for this first major policy study of this area, and have arranged for commercial publication of the report. The report has been subject of specific sessions at several professional conventions, and was reviewed and discussed by its author and USOE at meetings of the Corporation for Public Broadcasting (CPD).

20. The evaluation project, State ESEA Title I Reports: Review and Analysis of Past Reports, and Development of a Model Reporting System and Format. (June 1974-75) resulted in three evaluation models as required by Section 151 of ESEA, Title I. They prescribe standard techniques and generate data which can be tabulated and aggregated at State and Federal levels.

Prompted by that work and Section 151, the Office of Education is drafting program regulations to require use of the standard techniques, and a technical assistance program has been established to facilitate that use. The models have been implemented in over 20 States since the completion of the study, and nearly all States will be using them during the 1977-78 school year.

Although the evaluation models were developed in response to legislation for the ESEA Title 1 program, they incorporate basic research designs also appropriate for assessing the effect of a variety of types of social programs. Inquiries have been received from administrators and evaluators in hospitals, drug-counseling centers, and churches, as well as from educators nationwide.

21. An important outcome of federal evaluation studies has been the publication and distribution of "how-to" handbooks on topics in the area of education evaluation. Two handbooks are currently available and several more are being written. The Government Printing Office has sold more than 10,000 copies of the first one published, _A Practical Guide to Measuring Project Impact_, in the year it has been available. In addition, USOE has distributed nearly a thousand copies. More than 3,000 copies of the second handbook, _A Procedural Guide for Validating Achievement Gains_, nave been sold since it became available six months ago. Handbooks are currently being written on such topics as students' affective development, cost analysis for educational projects, and assessing bias in achievement tests. USOE is soliciting ideas for more topics to be included in the series.

22. An interim report from a major study of Federal programs supporting educational change identified a number of factors contributing to the successful implementation of educational

innovations. The results of the study are being used in various OE efforts such as the program to disseminate Project Information Packages and the development of strategies for disseminating successful Follow Through models. The results of the study have also been instrumental in NIE's planning for dissemination of research findings.

23. Several OPBE studies that attempted to identify effective projects in compensatory education led to the planning and implementation of the "Packaging and Dissemination" Program under the authority of the Special Projects Act in P.L. 93-380. The program promotes the implementation of effective educational projects whose development was supported by OE. To date, 12 projects in compensatory education and four projects in bilingual education have been "packaged" after approval for dissemination by the OE Dissemination Review Panel. Six of the compensatory education packages have completed field test and are being disseminated to the field.

The packages based on effective projects were called Project Information Packages (PIPs) and were developed to provide adopting school districts with guides, manuals and other materials with enough detail to enable adopting schools to carry out all aspects of planning, starting and operating the projects.

The Packaging and Dissemination Program also supports the National Diffusion Network (NDN) and its efforts to disseminate information (including but not limited to PIPs) about effective projects, products and practices in many fields of education. The Network appears to be well received by States, school districts and the Congress, and has already encouraged numerous attempts at replication of effective projects.

24. A study to identify effective projects in the ESEA Title VII Program resulted in approval of four projects by the Dissemination Review Panel. Descriptions of the four projects were disseminated nationally by the Title VII-funded national network of Training Resource Centers to school districts in interested in a Spanish-English or French-English education program. OE has also developed Project Information Packages (PIPs) for each of the four projects, and the PIPs will be field-tested during the 1977-78 and 1978-79 school years in those school districts that receive Title VII grants to implement the projects. The field test was one recommendation of the Policy Implications Memorandum (PIM) based on this study.

25. In 1971 and again in 1973, when all indications suggested that colleges and universities were near financial disaster, the Cost of College studies identified the components of increasing costs as equally divided between inflation and decreasing productivity on the part of the faculty. Since faculty costs account for over half the cost of education, a substantial part of the increase in the cost of education could have been controlled. The studies influenced the Departmental position to allocate available resources primarily to finance students instead of institutions.

In FY 1975, the finances of 50 selected four-year colleges were reviewed in detail. Although the first study had suggested that the state of college finances was generally healthy, the last investigation suggested that while no institutions in the study groups level had yet closed its doors, a number of the colleges may be on the verge of financial distress. These findings were used extensively for a policy paper on institutional aid which was submitted to the Secretary of HEW in January 1976.

26. Studies have been completed for the Upward Bound, Talent Search and Special Service programs for disadvantaged students. As a result:

(a) Evaluation findings have been used in the writing and/or revision of regulations for the UB, TS, and SSDS programs so as to improve award procedures, overall program management, and monitoring and reporting procedures.

(b) In response to study findings, it became obvious that there was a need to develop a more intensive study effort to identify and develop more effective program strategies and intervention techniques. Once identified, these strategies and techniques will be implemented in the field and rigorously assessed during a three-year field trial using "national demonstration" funds for project support and Planning and Evaluation funds for the evaluation.

27. From one major study and a series of smaller related efforts for the Developing Institutions Program, the concept of the Advanced Institutional Development Program was developed. Study results were also used for definition of program purposes and operational guidelines as the new program moved toward implementation. The basic elements of a planning and management system were defined, together with suggestions for selecting institutions for the program.

F. EVALUATION OF ELEMENTARY AND SECONDARY EDUCATION PROGRAMS

F. Evaluation of Elementary and Secondary Education Programs

Most evaluation findings on elementary and secondary education programs can be placed in one of two categories: (1) those pertaining to the impact of programs aimed either at directly improving the quality of education for large numbers of children or indirectly improving education by demonstrating better practices for relatively small numbers of children and (2) those which address the issues of how to bring about changes in the schools and what constitutes good changes. Although this dichotomy provides a useful way to summarize the results in the paragraphs which follow, a given evaluation project may supply both kinds of information. In addition to conducting evaluation of educational programs, the Office of Education was given, in the Educational Amendments of 1974, responsibility to upgrade State and local evaluations of the ESEA Title I program. The steps being followed in carrying out this mandate are also summarized below.

(1) The Impact of Federal Programs on Students

Addressing the special needs and problems of educationally disadvantaged children has been acknowledged as a Federal responsibility since the legislation of 1965 and a number of major Federal programs have the disadvantaged target group as their main concern. The principal program at the elementary and secondary level is Title I of the Elementary and Secondary Education Act (ESEA), a large service program intended to address the locally determined needs of the target population. Another program, Title VII of ESEA, is much more limited in scope, aimed as it is at the special education requirements of persons of limited English-speaking ability. Recent amendments to Title VII (P.L. 93-380) provide a three-fold rationale for the portion of the law administered by the Office of Education: as a demonstration program, as a training program for educators, and as financial support for the development of bilingual/bicultural materials. A third program, the Emergency School Aid Act (ESAA), addresses the needs of desegregating school districts. While not limited to educationally disadvantaged children, in practice the program does provide disproportionately greater services for that target population than for non-disadvantaged children.

There seems little doubt that the most universal concern about the education of disadvantaged children, shared by educators and lay public alike, is that poor children, minority-group children and children of limited English speaking ability do not acquire the basic skills in language arts and mathematics as well as the general population. This educational disadvantage naturally spreads to other aspects of school performance as the children face the mastery of more complex subjects, and later the life-coping skills needed by adults.

Before proceeding to results from Federal education programs, it should be noted that recent years have seen renewed concern that children from the general population are also performing at unacceptably low levels and in some cases getting worse. Scores on college entrance examination tests (SAT and ACT) have shown yearly declines and new reports from the National Assessment of Educational Progress (NAEP) indicated declines in student's writing skills (except for 9-year olds) and knowledge of science.

A first time report on consumer math skills shows unexpectedly low performance in that area. The results of two studies of functional literacy (NAEP and the University of Texas) indicated unacceptable levels of illiteracy for an advanced nation. There have been, however, two somewhat positive notes from NAEP. The first is that the functional reading skills of 17 year olds, while low, were better in 1974 than in 1971. Moreover, it was the children of parents with little or no high school education who showed the greatest improvement. Second, an NAEP report released in 1976 indicated reading improvements for 9-year olds between 1971 and 1975. Black 9-year-olds gained more dramatically than did the population as a whole. The reading ability of 13 and 17-year olds changed little during the same time period. Finally, an Office of Education sponsored study which drew upon standardized reading test results over the past 50 years indicated that students of today out-perform their counterparts of 20 years ago or earlier. The analysis revealed a trend of gradual improvement in reading skills from 1925 to 1965 but then a leveling off or possibly a slight decline in the past ten years.

The foregoing findings and others help to put in perspective the results from evaluations of Federal programs for disadvantaged children. The overall picture for the general population is one of declining test scores for about the last 10 years for grades five and above. The declines have been more pronounced at the higher grades. Although the evidence on test scores in the early grades is less comprehensive, there are indications that there has not been a similar decline at the primary level. In recent years there is even some evidence of improvement in reading by the categories of children who tend to be among the disadvantaged population.

Title I presently serves nearly 6 million children at a cost of $1.9 billion dollars per year. It is by far the largest single program focused on the needs of disadvantaged children. It is broad with respect to the kinds of activities which can be supported and resource allocation decisions are largely left to local discretion subject to state approval.

There is nevertheless considerable concentration on instructional services and especially on reading in the elementary schools. Recent studies indicate that participants in Title I reading projects tended not to fall farther behind their less needy, unassisted peers in their reading skill performance during the school year. This result, while positive, does require some further explanation. The strongest data come from a national study of compensatory reading in grades 2, 4, and 6 but there is also other corroborating data (see Title I section of this report). The national study showed that not only was the Title I money accurately targeted on the children with the greatest educational needs but that in terms of reading test scores, the gap between students participating in compensatory reading projects and their more advantaged peers narrowed between fall pre-test and spring post-test. The gap narrowed in the sense that the number of correct answers by disadvantaged students was closer to the number correct by advantaged students in the spring than in the fall.

The study also shows, however, that the percentile rank for the typical student who received compensatory assistance was 22 for each of grades 2, 4, and 6. The percentile rank for the typical student in the study who did not receive compensatory assistance was 46, 48, and 53 for grades 2, 4, and 6, respectively. These results suggest that despite some overall gains from compensatory reading projects during the school year, the target group children are still far below average all through elementary school.

The picture then is one in which Title I projects, when addressed to reading problems, generally seem to be effective during a given school year but in which the target population, for a variety of reasons remains severely disadvantaged in terms of reading skills. What might seem to be a paradox has several possible explanations including student losses of skills during the summer and students leaving or being dropped from projects after one year of participation. Policy guidance must await results from on-going evaluations designed to identify the factors which continue to deny minority-group and poor children fully equal educational opportunity.

Children who enter school with limited English-speaking proficiency face particular problems which Title VII of ESEA was intended to address. (Such children also participate in Title I.) The program is intended not only to have a direct impact upon such children but also to help remove some of the current obstacles to bilingual/bicultural education such as shortages of properly qualified teachers and acceptable instructional materials. An evaluation of the program completed in 1973 led to some of the Title VII changes in the Education Amendments of 1974 but did not assess program impact directly upon children. An on-going evaluation will do so. A study completed in 1975 identified four exemplary bilingual education projects and they have now been packaged as a means to encourage widespread replication (see subsequent section on programs aimed at improving educational practices.)

Another study completed in 1975 focused on the needs of language minorities other than Spanish. Although the vast majority of children of limited English speaking ability are Spanish dominant, Title VII has projects for 43 other language groups. The study suggests several legislative and administrative changes which may be necessary to insure that the needs of all language groups are satisfied.

The purpose of the ESAA program is to encourage the elimination, reduction or prevention of minority group isolation, to meet the needs incident to the elimination of segregation and discrimination, and to help overcome the educational disadvantage of minority group isolation in elementary and secondary schools. Two sub-programs, Basic Grants and Pilot Programs, account for 79% of ESAA funds and are the subject of an on-going, three-year evaluation. School districts operating Pilot projects are required to use the funds to improve basic skills, and many Basic projects have components with the same objective. The combined data from the first two years of the ESAA evaluation show clearly that dollars have been successfully dispensed to school districts with needy students and, further that these dollars have been translated into services targeted toward students with acute needs for compensatory programs. There is, however, no clear evidence of overall ESAA program impact. Differences between ESAA-participating schools and non-ESAA-participating schools on either test scores or measures of school climate were, on the average, small. Compared to national norms, however, the picture is somewhat more favorable especially in the elementary grades with respect to test scores. There is evidence from several studies that disadvantaged children show a decline from year to year in percentile scores. A reversal of this tendency, i.e., students exceed the test score gain required to maintain their same ranking relative to the nation's total population of students, may then be regarded as successful performance. With this criterion, approximately 40 percent of the schools having ESAA programs for students in the elementary grades appeared to have had a positive effect in reading and approximately 75 percent appeared to have had a positive effect in mathematics; for schools having ESAA programs for students in the secondary grades, 30 percent appeared to have had a positive effect in mathematics. There were no appropriate norms in secondary reading for determining the number of effective schools.

In summary, it appears that Federal programs for the education of disadvantaged children are beginning to have measurable, positive impact. However, it is also true that the problems of improving the education of such children have been more resistant to solution than was imagined when the programs began in the 1960's and that much more remains to be done.

(2) Changing Education: How Does It Happen? - What are the Results?

Several Federal education programs and many local projects attempt, in one degree or another, to change and, hopefully, improve educational practices. Several recent OE studies shed considerable light on the process whereby schools change and what happens when they do.

Preliminary results from an on-going study of Federal change agent programs* indicate that some of the conventional wisdom about how school districts behave when trying to solve problems may be wrong. For example, a broad search for alternative solutions which have been tried in other school districts was not frequently undertaken and in particular, there was usually not a strong reliance on objective evidence about the effectiveness of a given solution. Rather, a much more subjective process was usually in operation. Aside from explaining why improvements in educational practices are very gradual, this finding must certainly be considered in designing and administering Federal change agent programs. While it may be possible that, over time, school districts can be persuaded to adopt more rational decision-making processes, Federal efforts must meanwhile recognize the existing situation and work within its limitations. The foregoing results and many others are discussed in detail in a major interim report on Federal change agent programs (see subsequent ESEA Title III section of this report).

Do children learn more when large scale innovations are introduced into the school? Results from a recently completed evaluation called Project LONGSTEP (see Chalupsky, et. al. in the ESEA Title I Section) provide some answers. Eighty schools in 13 school districts across the Nation were involved in a multi-year study of intensive educational innovations--that is, programs encompassing a significant proportion of students, entailing a major alteration of school procedures, and involving a high investment of resources. Educational innovations included team teaching, multimedia emphasis, unique school design, use of paraprofessionals, variations in scheduling, and teacher-developed materials as well as independent study, student selection of materials, and a number of other practices typically associated with individualized instruction. Student performance in reading, language and arithmetic was measured over a three-year period.

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* ESEA Title III, Innovative Projects; ESEA Title VII, Bilingual Projects; Vocational Education Part D, Exemplary Projects; and the Right-to Read Program.

Taken as a whole, students exposed to intensive, innovative educational programs did not do conspicuously better than what is expected of students in ordinary programs. However, the various educational approaches did produce differential effects in achievement (especially in the early elementary grades) and unquestionably dramatic performances were found in some schools.

Probably the most interesting findings from the study pertained to indices which measured the Level of Innovation and the Degree of Individualization. Students enrolled in programs with a more moderate emphasis on innovation and individualization showed the greatest improvement. This certainly should not be viewed as a sweeping criticism but simply that innovation and individualization per se will not necessarily produce positive effects on achievement.

One educational strategy which rose to prominence in the early 1970's was performance contracting--the idea that the provider of instruction should receive payment in accordance with the level of performance of the students being taught. Advocates of performance contracting contend that the possibility of monetary rewards motivates people to improve their efforts. A number of assessments of performance contracting have been carried out by OEO and USOE. The results were basically negative although some of the conclusions have been hotly debated. Recently, USOE initiated a small study to check on the long-run effects of performance contracting in districts where is has been tried.

The study, carried out by the Educational Testing Service*, found that (1) by 1974-75 the number of school districts using performance contracing had declined to about twelve, (2) the impact on student achievement and attitudinal outcomes remains clouded by methodological problems (no new data were collected for this study), (3) educational changes were brought about in the schools using performance contracting but not usually in the school district as a whole, and (4) the incentive principle does not seem to have been an effective way of eliciting maximum effort from the providers of instruction. The overall conclusion was that it would not be desirable to revive performance contracting on a large scale.

The Follow Through Program is a major Federal effort to identify effective approaches to the education of disadvantaged children in grades K-3. Twenty two different approaches, or models, have been tried out in sites across the country (most models in multiple sites) and have been subjected to intensive evaluation. The models employ a wide range of strategies including several forms of parental involvement, open education, behavior modification and individualized instruction. The final, detailed results will be reported in 1977 but some of the preliminary, overall results can be mentioned here.

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* Educational Testing Service, Performance Contracting As a Strategy in Education, May 1975.

The effectiveness of the models has been examined in terms of basic skills, higher order conceptual skills and affective outcomes (self-esteem and sense-of-control over one's successes and failures). It is clear that some models are more successful than others. Although this may not seem surprising, it should be recalled that in the late 1960's, when Follow Through was getting started, it was hard to find evidence that anything the schools could do would make a difference.

While some models tend to be more successful than others it is also true that each model showed a range of effectiveness and that the outcomes appear to depend heavily upon local conditions. This probably means that the simplistic notion of "a successful educational approach" will have to be replaced by a more complex concept which recognizes that a given approach may work well in some situations and not in others. It also means that there must be enough field testing of educational approaches so that one can reasonably predict the settings in which each approach is likely to work and thus avoid recommending them for situations where they will probably fail.

A final general result which might be inferred from the Follow Through results is that most educational innovations are not improvements. When one looks at the effects of all models in all sites in the national evaluation, some 69% of the results are neither positive nor negative. That is, the models are not strong enough to create effects which are distinguishable from what would have been expected from children without exposure to the Follow Through models. About 10% of the effects are positive and about 21% are negative.

The findings from Follow Through and Project LONGSTEP seem consistent and suggest the following conclusion--it is possible for schools to introduce new approaches that will benefit students but most innovations being tried will either be neutral or negative in the sense of direct benefits for children. What could account for the infrequent occurrence of positive outcomes? It may be that our understanding of the human learning process is so meagre that even intensive efforts by leading educational innovators will yield improved practices only a small percent of the time. However, it can be argued, with supportive evidence, that some of the innovations have not really had a fair trial. One of the reasons cited is that conditions in the schools prevent implementation of the innovations as conceived. Thus does the character of an educational innovation become inextricably bound up with the process of change in the schools--some things are easier to implement than others and when schools run into trouble they frequently change the nature of the innovation.* A third possibility is that many innovations are working but our evaluation instruments and methodologies are not able to detect the positive effects of a substantial proportion of the approaches.

Another completed study, Conditions and Processes of Effective School Desegregation, examined innovations directed toward improving race relations in desegregated schools. The results show the effectiveness of innovations in instructional practices designed to promote good race relations. These practices include the choice of instructional material: text material with multiracial content and the teaching of minority group history and culture. The practices also include deliberate efforts to involve black and white students interactively (working and playing together in organized activities) and open discussions of racial issues in the classroom.

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* See the interim report on Federal change agent programs for findings on this point.

High schools with good race relations tended to have principals who were evaluated highly by teachers. These principals were described as supportive of both black and white teachers and as persons of major influence in the school and the community. The impression of interviewers who visited the schools was that the principals of the more successfully desegregated schools had clearly established good race relations as an explicit goal of the school. The innovations to improve race relations were generally introduced with the support of the principal and in some cases with the principal as a direct participant in the innovation. Detailed discussion and examples of specific innovations for race relations and ways of implementing them are provided in a non-technical publication, A Handbook for Integrated Schooling.

As the foregoing discussion indicates, much effort has been expended in two streams of activity: trying to identify effective educational practices* and trying to understand the process of educational change, especially how that process can be affected by the Federal government. The next logical step is to try to combine the two converging streams. Presently this is being done in a small USOE program called Packaging and Dissemination. Two on-going evaluations should shed further light on the whole process when they are completed. Meanwhile, some preliminary results can be reported.

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*Studies which seek effective educational practices include many more than those mentioned in this section. Indeed most of the evaluations conducted in elementary and secondary education include such an objective.

In an effort to disseminate and promote the adoption of exemplary educational practices, the USOE has established a National Diffusion Network (NDN) and has prepared packaged materials (Project Information Packages or PIPs) as a means for communicating the information necessary for replication of projects. The NDN is composed of LEA grantees which demonstrate and help disseminate information about successful projects which have been reviewed and approved by the Education Division's Joint Dissemination Review Panel. Project Information Packages have been developed for a select few of all Panel approved projects as very detailed how-to materials for schools to use in starting and operating projects. The PIPs are disseminated via the NDN as well as other means.

The first set of six PIPs describe compensatory education projects and are undergoing a two-year field test in 19 school sites across the country. The first year results show that local school district personnel can use the descriptions and instructions provided in the PIPs to implement the projects with considerable fidelity to the originals. Moreover, local staffs were enthusiastically involved in the implementation of the projects and parents were supportive. The second year of the field test will add student achievement and attitudinal outcomes to the assessment. Meanwhile, the PIPs, when combined with a suitable delivery system, seem to be a viable way to bring about educational change--at least for most of the types of projects which have been packaged so far. A final report on the PIPs field test plus an evaluation of the National Diffusion Network will be available in the Spring of 1977.

In summary, the past decade has seen considerable effort by the Federal government to foster change and to improve the quality of education, especially but not exclusively, for disadvantaged children. Early hopes that large-scale intervention programs such as ESEA Title I would quickly overcome the disparities in educational outcomes arising from economic and social disadvantage proved overly optimistic. In retrospect, it seems likely that many of the designers and implementers of special programs for the disadvantaged, however well-intentioned, often were not able to produce effective programs. To some extent, educational evaluations have been able to sort out the good from the bad but evaluators too have suffered from an inadequately developed technology. Evaluation designs, measuring instruments and analysis techniques have too frequently led to ambiguous or occasionally invalid findings. Improved technology and better trained evaluators are gradually improving the quality of educational evaluation. This is very important because if it is true, as seems to be the case, that most educational innovations are not improvements, conducting good evaluations is probably the prime, if not the only, way of avoiding expenditure of extra money on approaches which have little, or worse, negative effect.

(3) Overview of the Implementation of ESEA, Title I, Section 151

There have always been requirements in ESEA Title I legislation for the annual evaluation of project services at both local and State levels. Local projects are responsible for using "effective procedures, including

...appropriate measures of educational achievement" for evaluating the effectiveness of Title I projects (ESEA Title I, Section 141(a)(6). They report such data to their States, who must, in turn, submit an annual evaluation report to the Commissioner. USOE is required by GEPA 417 to report annually to Congress.

Attempts at the federal level to use data from the State annual evaluation reports to satisfy this last reporting requirement have been frustrated by the lack of comparability---and often of validity---of the data in them. In August of 1974, Congress amended Title I with the addition of Section 151, which lists specific activities required of the Commissioner. The subsections of Section 151 can be summarized as follows:

"The Commissioner shall

(a) provide for independent evaluations which describe and measure the impact of programs and projects assisted under this title ...

(b) develop and publish standards for evaluation of program or project effectiveness ...

(c) where appropriate, consult with State agencies in order to provide for jointly sponsored objective evaluation studies ...

(d) provide to State educational agencies, models for evaluations of all programs conducted under this title ... which shall include uniform procedures and criteria to be utilized by local educational agencies, as well as by the State agency;

> (e) provide such technical and other assistance as may be necessary to State educational agencies to enable them to assist local educational agencies in the development and application of a systematic evaluation of programs in accordance with the models developed by the Commissioner."

Subsection (f) of Section 151 describes the models further as specifying "objective criteria" and "outlining techniques and methodology" for producing data which are "comparable on a statewide and nationwide basis." Subsection (g) requires a periodic report on the activities of this section, and (h) requires a system for the gathering and dissemination of results of evaluations and for the identification of exemplary programs.

Those requirements outline a comprehensive evaluation program: conduct evaluations, upgrade evaluation activities at other administrative levels so that reported data are comparable, use those data to--among other things--identify especially effective instructional practices, and disseminate information about those practices. Its implementation involves two mutually dependent but different stategies. One is the use of data compiled and reported upward from the local and State agencies to USOE. Those data will provide an information base which has the qualities of recency (because the data are reported annually) and of breadth (because most if not all of the Title I projects in the nation will be reporting).

The second strategy is the use of Federal studies to measure the impact of the program nationally. The information base generated through this strategy has the qualities of efficiency (data are collected only on a sample of sites nationwide) and of depth (more data can be collected in each of those sites, beyond that possible through self-reports). Each strategy also has its weaknesses: quality control in the reporting system, and infrequency with the national studies. Together, however, the two strategies can adequately and efficiently provide answers to most administrators' questions.

A third observation about the legislation is that it challenges Federal, State, and local Title I administrators and evaluators by calling for a mutual effort to document their programs' operations and impacts and highlights specified approaches for facilitating such an accomplishment. Those approaches are consultation among the parties at all administrative levels, the use of models as a structure for generating comparable data, and the provision of technical and other assistance in support of that structure.

Our consultation efforts have taken several forms: we have sponsored visits to all States and to three local educational agencies in each State, to discuss their evaluation activities; we have relied on advisory groups comprised in part of State and local personnel to participate in both our national studies and in our work to implement the standard evaluation models; and we continue to solicit their input through personal contact.

The models developed as a framework for the local and State reporting of comparable data were developed in 1975, discussed in all States in 1976, and further defined in training sessions this past winter. They offer alternative, methodologically sound ways for project evaluators to estimate the effects of the Title I services in the basic skills. Enough flexibility is allowed to make them feasible for implementation; enough requirements are established to make them rigorous. Although the probable accuracy of the estimates of project outcomes varies somewhat across the models, each will yield an unbiased estimate of project effects. Therefore, the data will be comparable as required in the legislation.

Our technical assistance efforts fall into three categores: user-oriented documents as reference works on the models, training workshops for State administrators, and free consulting services. The last of the three is the most active, direct form of assistance now underway.

Ten Technical Assistance Centers were established under contract to the Office of Education to provide these consulting services to States implementing the Title I evaluation and reporting system. Center personnel are available to assist States in presenting workshops, devising evaluation strategies appropriate for local situations, providing advice in the statistical and measurement areas, interpreting the data obtained in evaluation studies, modifying computer programs to help States process data, or providing other services that may be helpful to a State's Title I evaluation activities. These site specific services, then, provide the core of the technical assistance effort.

The data generated by the proposed evaluation and reporting system will be project descriptors of enrollment, services, staffing, and effects. The information required has been kept at a minimum to keep the reporting burden small and to increase the probability that the requested data are as accurate as possible.

More information about fewer sites can be obtained by national evaluations, and the quality of the data can be better controlled. The evaluations and the reporting system actually complement each other in a variety of ways, including:

> The reporting system has been designed to provide LEAs with flexibility as to choice of measuring instruments and evaluation designs.

This feature maximizes the likelihood that LEA evaluations will be useful at the local level. However, as a consequence of permitting flexibility, the system necessarily introduces a certain imprecision and ambiguity when the data from a variety of instruments are aggregated across LEAs and SEAs. The national evaluations each have the advantage of a uniform design, a single set of measuring instruments, and carefully controlled data collection procedures. This means that the occasional national evaluations provide a more precise indication of the national impact of Title I and can also serve as a check against the more frequent but broader-brush assessments provided by the aggregation of LEA data.

The reporting system has also been designed to minimize data burden for the LEAs. This means, for example, that very little information is reported about Title I project characteristics and that, consequently, little can be said regarding the relationship between such characteristics and successful student outcomes. The national evaluations, on the other hand, are designed especially to detect such relationships when they exist.

The national evaluations involve very small samples of LEAs because large samples are not necessary for estimating the overall national impact of a program. As a consequence, however, national evaluations do not provide estimates of impact at the State level and provide estimates of local impact for only a few hundred LEAs. The reporting system will provide State level estimates, subject to the limitations of the aggregating procedures, and, depending upon State decisions about sampling, as many as 14,000 LEA impact estimates.

One of the strengths of the reporting system in addition to flexibility, is its relative simplicity. Though it demands adherence to certain procedures, it avoids highly intricate evaluation manipulations, For example, there is no requirement for reporting longitudinal data (i.e., two or more outcome measures on the same child and separated by an interval of greater than one year) because this would greatly increase the complexity of the system and the cost to LEAs. (If LEAs choose to carry out longitidinal evaluations they will, of course, be compatible with the system.) However, the answers to some Title I evaluation questions depend upon longitudinal outcome data and these can be well handled by the national studies at far less expense than with the reporting system. The on-going Study of the Sustaining Effects of Compensatory Education exemplifies this point.

Other activities underway in USOE to implement Section 151 include the publication of a newsletter, the drafting of program regulations regarding use of the models, and the development of evaluation methods appropriate in other Title I program settings. These are described in greater detail in Appendix B.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Education of Disadvantaged Children

Legislation

Title I of the Elementary and Secondary
Education Act of 1965, as amended
Parts A and B

Expiration Date:

September 30, 1978

Funding History	Year	Authorization*	Appropriation
	1966	$ 1,192,981,206	$ 959,000,000
	1967	1,430,763,947	1,053,410,000
	1968	1,902,136,223	1,191,000,000
	1969	2,184,436,274	1,123,127,000
	1970	2,523,172,905	1,339,050,900
	1971	3,457,407,924	1,500,000,000
	1972	4,138,377,672	1,597,500,000
	1973	4,927,272,941	1,810,000,000
	1974	4,182,509,627	1,719,500,000
	1975	6,313,857,213	1,876,000,000
	1976	4,371,762,818	1,900,000,000
	1977	4,356,083,000	2,050,000,000

Program Goals and Objectives:

Section 101 of P.L. 89-10, as amended states:

> In recognition of the specific educational needs of children of low-income families and the impact that concentrations of low-income families have on the ability of local education agencies to support adequate educational programs, the Congress hereby declares it to be the policy of the United States to provide financial assistance (as set forth in this part) to local educational agencies serving areas with concentrations of children from low-income families to expand and improve their educational programs by various means (including preschool programs) which contribute particularly to meeting the special educational needs of educationally deprived children.

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* The total authorization and appropriation levels are reflected in these columns (not just those for Parts A and B). In the subsequent Migrant, N or D, and Handicapped sections only their respective totals are reported.

In discussions associated with the preparation of the Education Amendments of 1974 (P.L. 93-380) the Report of the House Committee on Education and Labor stated "that local educational agencies should give priority attention in operating Title I programs to the basic cognitive skills in reading and mathematics and to related support activities to eliminate physical, emotional or social problems that impede the ability to acquire such skills".*

Program Operations

Administrative responsibilities for Title I are shared by the U.S. Commissioner of Education, State Education Agencies (SEA's) and Local Education Agencies (LEA's). USOE: (1) determines the entitlements of counties and State Agencies; (2) ratably reduces LEA authorizations on the basis of Congressional appropriations; (3) distributes available funds to SEA's; (4) develops and disseminates regulations, guidelines and other materials related to administration of Title I; (5) provides monitoring and technical assistance to SEA's; (6) compiles fiscal, and evaluation data; (7) evaluates the results and effectiveness of the program; and, (8) receives assurances from SEA's that programs will be administered in accordance with the law and the regulations.

Participating SEA's must assure USOE that they will administer the program in their States and submit evaluation and fiscal reports as provided in the law and regulations. Administrative functions of SEA's include: (1) approval or disaproval of proposed LEA projects; (2) suballocation of county aggregate grants to eligible LEA's; (3) provision of technical assistance to LEA's; (4) maintenance of fiscal records, and (5) preparation of fiscal and evaluation reports for USOE.

In proposing, developing, implementing, and evaluating local projects, LEA's are required to identify areas having high concentrations of children from low-income families, assess the special needs of children in those areas, and design projects that apply available resources to meet identified needs. In addition to these activities, LEA's must keep adequate fiscal records and provide SEA's with annual fiscal and evaluation reports.

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* See pp. 20-21 of House Report No. 93-805. Both House and Senate discusssions (see Senate Report No. 93-763, pp. 30-31) relative to the special needs of disadvantaged children recognized the importance of basic skills but concluded that State and local educational agencies should be primarily responsible for determining the means to be used to meet the needs of disadvantaged children than such determinations being made by Federal authorities.

Title I enabling legislation and USOE regulations instituted one of the largest Federal-State-local education partnerships in the history of United States education. The legislation authorizes Federal financing of thousands of separate, autonomous, local programs operated and administered by local school boards and approved by the State. USOE's primary role is to administer the program without exercising direction, supervision or control over the curriculum, program of instruction, administration or personnel of any educational institution, school, or school system. The intent of the law is to let local educational agencies design and implement projects that will match available resources to local needs of eligible children.

USOE's strategy for administration and operation of Title I at the State level has been to monitor those activities and provide technical assistance to the States as required. Similarly, monitoring and technical assistance activities are the responsibility of SEA's and are meant to insure LEA compliance with the letter and intent of Title I regulations. USOE's monitoring and technical assistance activities are a major component of the effort to improve ESEA Title I program operations at the State and local levels.

Improvement of local project impact on participating students is the goal of two additional strategies: (1) SEA project development/evaluation technical assistance; and (2) USOE identification, validation, packaging and replication of local projects that have demonstrated their effectiveness for children. SEA's are granted up to one percent of the total State Title I allocation or $150,000, whichever is greater for State administration including, monitoring and providing technical assistance to LEA's.

Program Scope

For the 1971-1972 school year the Consolidated Program Information Report (CPIR) indicated that 5,946,930 children enrolled in public and private schools* participated in Title I programs operated by local agencies. This represented approximately 12 percent* of all students enrolled in elementary and secondary education in the U.S. (both public and private) and roughly one-fourth of the school-age children residing in school districts having at least one Title I eligible school.

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* This includes schools in districts which have a total enrollment of more than 300 students.

Ninety-five percent of the above Title I participants were public school students. The remainder (some 5 percent) were non-public school students who were participating in public school operated Title I programs. These latter students also represent approximately 5 percent of all-non-public school students enrolled in elementary and secondary education. The public school enrollees participating in Title I represent 12 percent of the total public school enrollment.

Although Title I funds reach only 12 percent of the students in the U.S. they involve a much greater proportion of schools and school districts. Of some 89,372 elementary and secondary public schools in the U.S., Title I funds are received by about 52 percent of them. Similarly, of roughly 18,142** such non-public schools, some 33 percent have one or more students participating in Title I supported programs. About 90 percent of all public school districts in the U.S. receive Title I funds.

More recent evidence from State reports indicates that the number of children being served has declined (FY 75 Budget Justifications; Gamel, et. al., 1975). This decline represents some admixture of the following trends: improved accuracy in who is counted; a tendency to count only children receiving instructional services; a tendency to provide a fixed level of services to children who are being served and since costs are increasing the number of children served has shown a corresponding decrease.

The CPIR also indicated that some 211,711 school and state institutional personnel received training supported by Title I funds (exclusive of those supported by migrant funds). It is not surprising that 59 percent were teachers and another 28 percent were aides (trained at a cost of $119 and $97 per recipient, respectively). Eighty-two percent of the teachers received their training during the regular school year. More than half of the teachers (58 percent) received training for four days or less at a cost of $46/teacher. Another 17 percent received one to four weeks of training at a cost of $146/teacher. Summer training sessions were more expensive overall ($170/teacher) as well as when compared with sessions of the same corresponding length offered during the regular school year.

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* This represents a slight underestimate since the base uses 1970 Census data and enrollments for the 1971-72 school year had declined slightly.

** These figures are for the 1970-71 school year.

Somewhat different results were obtained for aides. Some 47 percent received training of four days or less at a cost of $28/aide. Another 21 percent received from one to four weeks training at a cost of $84/aide. Seventy-six percent of aides were trained during the regular school year. For those aides trained during the summer the cost was $57/**recipient** with only sessions of four days or less being more expensive than their regular school year counterpart ($46 for summer versus $28 for regular school per recipient).

A total of 68,158 parents of children participating in Title I activities were involved in school district level advisory committees. A comparable figure for school level advisory committees is 87,600 parents. However, the greatest level of involvement is at the Title I project level with 446,835 parents of participating children being involved in project related activities.*

During the past decade 19 States initiated their own compensatory education program; fourteen are currently in operation; four more had programs due to go into effect during 1976 (State Compensatory Education Programs, 1975).

Program Effectiveness and Progress

There are two main reasons why the debate about the achievement benefits of students who participate in basic skills projects funded by Title I appears to be diminishing. First, the incidence of successful projects may be increasing to a point where there effect can be manifested in the aggregate. For example, evidence from State and national level Title I evaluations indicates that project participants achieve at a rate that is equal to or greater than the national average while they are in the project. Second, a better understanding is developing of the general issues involved in evaluation and means are being devised to institute improved evaluation practices. These conclusions are expanded upon and qualified in the following paragraphs.

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* These data are also obtained from the CPIR for the 1971-72 school year. Since a parent can be involved at more than one level, these figures are not mutually exclusive.

Though local Title I projects may encompass a wide variety of objectives, information from the CPIR indicates that 62 percent of Title I funds were spent for direct educative services (namely, language arts, culture, social sciences, vocational skills and attitudes). Slightly more than half of these latter funds were used to support programs aimed specifically at improving the reading skills of the participants (National Center for Educational Statistics Bulletin No. 19, July 12, 1974). Given this programmatic emphasis, it seems fair to regard improvement in reading skills as one of the primary indicators of program effectiveness, especially in the elementary grades. Indeed, most of the evaluative evidence in the individual State and local evaluation reports is comprised of reading test scores (Wargo, et al., 1972; Planar, 1973; Gamel, et al., 1975).*

There are two mains sources of information on the effectiveness of reading projects: (1) national studies sponsored by USOE; and, (2) State and local evaluation reports.** For the first category, the results of three studies will be considered. For the latter category, recent results of a study concerning what can be learned from recent State and local reports and how they might be improved will be discussed.

. Evidence of Effectiveness from National Studies

The first study dealt with the effects of compensatory reading programs on student reading skill acquisition for a nationally representative sample of elementary schools. One aspect of the study attempted to give a brief historical overview, from extant data, of the growth in reading skills of students over the past half century. The conclusions of this effort were that students of today are more able in their skills, as judged by their performance on standardized reading tests than were their counterparts of 20 years ago or earlier and that there was a gradual improvement in reading skills over the forty-year period prior to 1965 (Farr, et al., 1974). During the past decade this trend has ceased and a very slight decline may have set in.*** Possible explanations for this decline were not given. However, the cumulative effects of television and a relaxation of the degree of structure of the curriculum through open classrooms, individualized lesson plans and projects, etc. should be considered.

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* Section 142 (a) 3 of P.L. 89-10 requires the States to include information on attainment in their annual reports.

** The review will not discuss other Title I studies currently being conducted in reponse to P.L. 93-380 (they are listed in Appendix A). However, as such results become available they will be discussed in future reports (there are at least five Federal government units currently engaged in Title I effectiveness studies).

*** For corroboration of a comparable trend in England see Start (1972).

Partial support for this conjecture comes from a recently completed study that showed that this decline (relative to national norms) was also present in the upper elementary grades in a sample of schools selected on the basis of their intensive emphasis on innovation and individualization. (Note: These were not compensatory programs). While these schools varied with respect to the level of innovation present in them, there was no consistent relationship between emphasis on innovation and achievement in the upper elementary grades. This same study did observe postive gains in reading achievement (relative to national norms) in the early grades. However, relative to this sample of schools, students enrolled in programs with a more moderate emphasis on innovation and individualization showed the greatest improvement in reading skills (Chalupsky, et al., 1976). These long-range trends pertain to the entire population of students--not just to those who are educationally disadvantaged. They are countered by more recent results from the National Assessment of Educational Progress. These results indicated that 17 year olds in 1974 performed better on exercises pertaining to functional reading skills than did their 1971 counterparts and that children whose parents had little or no high school education showed the greatest improvement during this period (National Assessment of Educational Progress, Functional Literacy-Basic Reading Performance, 1975).

A second aspect of the compensatory reading study showed that of the 537 schools studied: (1) 90 percent had some kind of compensatory reading instruction and 70 percent received Title I funds, (2) the dominant instructional approach was linguistic-phonetic used by: 66, 54 and 33 percent of second, fourth and sixth grade teachers, respectively; (3) only 5 percent of teachers did not use basal readers; (4) 20 percent of teachers had free choice of instructional materials while another 25 percent had no choice at all, however almost all teachers supplemented with materials they devised themselves; (5) compensatory reading instruction was most often conducted during regular reading instruction times--next most often before or after school hours or during the summer; (6) there were substantial differences among the schools studied in the ways they approached compensatory reading instruction and it was possible to categorize these approaches in meaningful ways (Rubin, et al., 1973).

A third aspect of this study dealt with the effects of programs in 266 of these schools on their participants using Fall and Spring measures of reading skills and liking for reading activities in grades 2, 4 and 6 (there were 126 schools with Title I funded compensatory projects, 80 with projects funded from sources other than Title I, 26 schools with no compensatory programs and 34 schools with innovative or unusual projects).

Analyses of fall test scores showed that the typical student who received compensatory assistance in reading ranked at the 22nd percentile on national reading test norms at grades 2, 4 and 6, respectively. However, there were some important differences in these results by source of funds and grade level. At the second and fourth grades students in Title I funded projects ranked at the 20th percentile; at the sixth grade a comparable figure was the 22nd percentile. However, students in compensatory reading projects funded from sources other than Title I ranked at the 24th percentile at each of grades 2, 4 and 6. Hence, the most needy students do receive special assistance in reading with students in Title I funded projects being needier (lower ranking) than their counterparts in compensatory projects funded from other sources.

These percentiles do not begin to tell the whole story. It is also instructive to examine the percentile ranks of student in such schools who do not receive compensatory assistance in reading. For schools that received only Title I funds for their compensatory efforts, their non-compensatory students ranked at the 42nd, 46th, and 50th percentiles at grades 2, 4, and 6 respectively, while such students in other schools were at the 48th, 54th and 56th percentiles at grades 2,4 and 6 respectively. Hence, in schools whose compensatory efforts are funded solely by Title I, the number of educationally disadvantaged students is so great that many unassisted students would qualify for services if they attended a less impacted school (especially in the lower grades).

How then do students who receive such services benefit from them? Compared to students who attend schools that do not have any compensatory services, compensatory assisted students acquire reading skills and grow in their liking for reading activities at about the same rate even though students in these former schools (viz. schools without compensatory services) were not educationally disadvantaged (on the fall pre-test students in these schools ranked at or above the 40th percentile on national norms). These assertions hold for Title I schools as well as for schools whose compensatory efforts were not funded by Title I. A comparison of growth in reading skills of students who did and did not receive compensatory assistance (naturally, only in schools where such assistance was offered) showed that the assisted students acquired reading skills and a liking for reading activities at a rate equal to or greater than their less educationally disadvantaged peers. Examination of the raw test scores showed that the degree of disadvantagement of assisted students (viz. distance behind their unassisted peers) tended to narrow from the fall pre-test to the spring post-test and moreso at the lower than at the higher grades. Finally, a comparison of the growth in reading skills of unassisted students in schools that do and do not offer compensatory assistance in reading shows their rates of acquisition to be about the same. Since on the pre-test unassisted students in solely Title I funded schools tended to be more educationally disadvantaged than their counterparts in schools not so funded, such results suggest a side benefit to Title I funds: the presence of a compensatory reading program may also enhance the achievement rates of unassisted students (perhaps because they are no longer held back by the slower students).

Are there any attributes then, that characterize the more successful from the less successful project? No single configuration of resources, their frequency of utilization nor their cost was appreciably related to the relative success of the different projects. Further, projects were not uniformly successful across the grade levels (viz. those that were successful at the lower grades were not also effective at the higher grades and vice-versa).* However, the five** unusually successful projects that were identified did share certain common features. They were: (1) all had defined reading as an important instructional goal, had assigned it priority among the school activities and had manifested this commitment by expending more time on reading or on having a better quality of reading resources; (2) all had a key individual who provided guidance and leadership specific to the issue of reading; (3) all paid careful attention to basic skills including reading; (4) all displayed a relative breadth of materials; and (5) all evidenced an interchange of ideas among staff members. Such materials suggest why a core of planning and management variables might be the ones that might best typify project success.

By way of summary then this national level study of compensatory reading programs has shown that in schools that have compensatory reading programs the most educationally needy students are the ones who receive compensatory assistance in reading and they benefit from these services such that they acquire reading skills and a liking for reading activities at a rate equal to or greater than their more advantaged peers. As a result they tend to catch up a little or at least maintain their same relative position rather than as has been the case historically, to fall further behind.* However, these assertions apply to students who participate in such programs during the academic year. Apparently, such results are not cumulative across the years for students who receive compensatory assistance in reading tend to stay at about the same percentile on the Fall test results at grades 2, 4, and 6. Undoubtedly the summer drop off and serving the most needy students each year affect such grade level results. They point up the need for a followup of the same students over time to see how their gains are sustained if or when they leave the program.

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* Somewhat similar results were found in a study of Follow-Through classrooms by Stallings (1974).

** Four of these were Title I funded.

The aforementioned results concerning cost require qualification in light of other information. Recent evaluation results from the first year of the Emergency School Aid Act found "a positive relationship between the level of supplemental reading program funding and student reading and mathematics achievement" (Coulson, et al., 1975). Similarly, an earlier study found a modest positive relationship between Title I per-pupil expenditures and achievement gains for reading projects in California schools that had heavy concentrations of disadvantaged children. However, there was no evidence for the existence of a "critical mass" of compensatory expenditures such that expenditures above a certain level resulted in pronounced improvements in reading (Tallmadge, 1973).

. Evidence of Effectiveness from State and Local Reports

Another form of information concerning the aggregate benefits of Title I comes from the annual State evaluation reports. A study was initiated to see what could be learned from a critical examination of the information in recent State Title I reports (FY's 71-74), how such results might have changed when compared with earlier years (FY's 69-70 in Wargo, et al., 1972) and, how State reporting systems might be improved.* Results from the first phase of this study, which is concerned with the review of current and past reports, reveals that most continue to show a number of serious shortcomings which precludes their usefulness in making statements about the achievement benefits of project participants at the state level. Most reports do not contain statistically representative data and the data which are presented are almost always expressed in terms of grade level equivalent gains. The data are unrepresentative because many LEAs do not get their reports in on time to be used in the State's report and of those that do, the data are often incomplete and nonrepresentative.** Hence, in preparing his report the State evaluator is forced to rely only on the available data and this is a biased subset of all LEA projects and report their achievement benefits in grade equivalent gains--a metric that introduces systematic biases.

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* The renowned "Coleman Report" (Coleman, et al., 1966) as well as many smaller scale studies of that same period showed this decline. However, artifacts introduced by the use of grade level equivalent scores tended to make this decline appear much worse than it really was. In conjunction with the Emergency School Aid Act evaluation, children in grades 3, 4 and 5 of a nationally representative sample of minority isolated schools (50% or more non-white) performed at the 23rd, 18th and 19th percentiles, respectively, on reading achievement in the Spring of 1973; similar results were obtained for mathematics achievement (Ozenne,D.G., et al., 1974).

Despite these drawbacks some trends across this six year period could be discerned. They were: (1) the number of Title I participants showed a progressive decrease while expenditures over time showed a corresponding increase with the result that average Title I per-pupil expenditures increased; (2) most participants were involved in Title I during the regular school term, most were in the primary grades and most were involved in reading or language arts programs; (3) expenditure data which were available showed a substantial and continuing increase for instruction and a decrease for construction and equipment; (4) there was a heavy emphasis on direct educational services in contrast to services supportive of the instructional program with reading and language arts receiving highest priority; (5) needs assessment information indicated that reading and mathematics are the most frequently identified areas of need and that standardized tests are used to determine student needs; (6) for the small number of states for which impact data were found to be valid (about 17) student participants manifested growth equivalent to or greater than the national average, however, their fall test scores at successive grade levels showed that such gains as did occur were not cumulative across the years, undoubtedly for some of the same reasons cited earlier (summer losses and serving the most educationally disadvantaged each year) as well as due to the States use of Grade Level Equivalent scores for reporting gains (Gamel, et al., 1975; see also Thomas, T. C. and G. N. Pelavin, 1976).

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* Specific steps that are being taken to improve State and local project evaluation practices and reports are discussed elsewhere in this report.

** The direction of the bias is probably positive if one recognizes that children present at the beginning and end of the school year are more likely to be more academically able than those who leave.

*** Some States have used the Anchor test results to equate achievement test scores for grades 4, 5 and 6 (1974). However, this practice is limited and will diminish as more manufacturers revise their tests.

In a recent search for effective reading projects sponsored by the Right-to-Read program (viz. the search was not limited to compensatory projects) some 1500 candidates were identified. Of this total about 52 percent eliminated themselves from consideration (by failing to respond to the survey questionnaire). Of the 728 remaining only 27 (or less than four percent) were found to meet accepted standards for claims of effectiveness (e.g., adequate criterion measures, statistical adequacy, experimental design, etc.). Of these 27 projects, OE's Dissemination and Review Panel (DRP) approved 12 as meeting adequate evalaution standards (this represents a survival rate of less than one percent of 1500 or about 1.6 percent of the 728). Of those that were approved by the DRP eight were compensatory projects and four of these were funded by Title I (Bowers, et al., 1974). Such results show that the problems of adequate evaluation procedures are not limited to a particular Federally funded program but are rather endemic to the educational sector.

These results can be contrasted with those from a survey conducted by the Title I program staff. In this survey each State was encouraged to nominate two effective projects. Fifty-one were received, screened and reduced to 28 by the OE staff. These 28 were then site visited to make detailed observations of them and to insure that they were in compliance with regulations. The 17 survivors from this latter screening stage were submitted to the DRP; 11 were approved for dissemination. On the basis of these two studies (as well as the foregoing) it can be asserted that the evaluation requirements for Title I "lead the way" for the evaluation of State and locally funded projects. Indeed, one might question whether effectiveness concerns would have attained anywhere near the prominence they have during the past decade were it not for the Title I evaluation requirements.

A third, earlier search conducted by OPBE, sought to identify, validate and package up to 8 effective approaches to compensatory education so that schools in other locales could duplicate the projects by working directly from the package (Tallmadge, October 1974). Some 2,000 projects were considered as potential candidates for packaging. Initial screening on three criteria reduced this number to 136. The three criteria were that the program had to: emphasize reading or math benefits; to be oriented toward disadvantaged children; and, be evaluated more than once. Of the 136 survivors, detailed descriptive information could be obtained on only 103. Fifty-four percent of these were rejected due to inadequate evidence of effectiveness as determined by an exceptionally rigorous examination which included independent analyses of project raw data and on-site visitations. Hence, six projects were selected and their specific implementation requirements were packaged in what have come to be called "Project Information Packages" (PIP's) (five of these six were Title I funded). These six packages are now being field tested to see if results in other sites can be produced which are comparable to those of their original site.*

- Summary of Program Effectiveness

At the individual project level then, some highly successful efforts can be isolated. Usually, evaluation evidence is not adequate to permit judgments about a project's effect because of inappropriate evaluation procedures. The aggregation of such evidence cannot, in turn, support inferences concerning the benefits that accrue to to the aggregate of participants. However, other sources of evidence lead one to the belief that progress is being made in the benefits that students derive from their compensatory assistance. The basic reason for this belief is that the evidence is now mixed whereas in prior times the only evidence available indicated that disadvantaged students had not improved or fell further behind.** For example, results from the National Assessment of Educational Progress (National Assessment Newsletter, 1972) indicated that economically disadvantaged children, as indexed by their parent's educational levels, race and geographic locale of residence, continued to fall substantially below the national medians on reading skills. However, more recent evidence from National Assessment concerned with growth in functional reading skills, shows that the most disadvantaged students experienced the greatest growth over a three-year period, as discussed earlier (National Assessment of Educational Progress, Functional Literacy-Basic Reading Performance, 1975). Similarly, because of the varied and oftentimes invalid results of local project evaluations and their State's aggregation thereof, it was difficult to judge what was being accomplished. However, an exhaustive study of those reports and of the practices that lay behind them showed that a few states had partially valid results and for them achievement benefits of the student participants could be discerned (Gamel, et al., 1975). Finally, the results of a national evaluation of compensatory reading programs, which did not have any of the shortcomings of State and local Title I evaluation reports, also showed that disadvantaged students were not falling further behind their more advantaged peers while they were in the program.

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* For more details on the nature of the field test see the evaluation projects described under the Packaging and Field Testing Program.

** Results from the Educational Opportunities Survey of 1966, better known as "The Coleman Report", were a major factor in developing the expectation that disadvantaged students would fall increasingly further behind their more advantaged peers throughout their years of schooling (Coleman, et al., 1966). It should be noted that the data for this study were obtained at about the same time that Title I was initiated; as such it forms one base-line for Title I in the achievement area.

- Evidence on the Effectiveness of Individualized Instruction

In Title I, section 131 of P.L. 93-380 Congress encouraged "where feasible, the development for each educationally deprived child participating in a program under this title of an individualized written educational plan (maintained and periodically evaluated), agreed upon jointly by the local educational agency, a parent or guardian of the child, and when appropriate, the child". Although not designed for these specific purposes* recent results of a study of a select sample of highly innovative programs, which also represented a variety of different approaches to individualized instruction, have shown that in the early grades students benefitted most from a more moderate emphasis on individualization (in terms of their performance on standardized measures of reading and mathematics). In later grades (5 through 8), however, there was no consistent or notable relationship between program emphasis on individualization and achievement in reading and mathematics (Chalupsky, et al., 1976). It should be noted that these approaches were not intended solely for disadvantaged students even though they were represented in the study. Further, none of the programs had the explicit degree of parental review and approval recommended by Congress.

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* One aspect of the NIE study of compensatory education is concerned with an investigation designed especially to cover all aspects of this Congressional proposal (NIE, Interim Report No. 1 August 1975).

Ongoing (O) and Planned (P) Projects*

1. A Study of the Sustaining Effects of Compensatory Education on Basic Skills (O)

The major purpose of this project is to isolate those sequences of educational experiences which are most effective in both reducing educational disadvantagement in the basic cognitive skill areas and in sustaining such a reduction over a period of years. To obtain such information a five-year study time period is required. A second purpose of this study is to obtain information on the numbers of educationally and economically disadvantaged students who do and do not receive compensatory services.

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* See the Appendix for projects associated with the Implementation of the New Title I Evaluation Requirements.

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Title I ESEA Program for Migratory Children of Migratory Agricultural Workers and Migratory **Fishermen**

Legislation:	Expiration Date:
Title I of the Elementary and Secondary Education Act of 1965, as amended	June 30, 1978

Funding History	Year	Authorization	Appropriation*
	1967	$40,394,401	$9,737,847
	1968	41,692,425	41,692,425
	1969	45,556,074	45,556,074
	1970	51,014,319	51,014,319
	1971	57,608,680	57,608,680
	1972	64,822,926	64,822,926
	1973	72,772,187	72,772,187
	1974	78,331,437	78,331,437
	1975	91,953,160	91,953,160
	1976	97,090,478	97,090,478
	1977	130,893,263	130,909,832

Program Goals and Objectives

Title I of P.L. 89-10, the Elementary and Secondary Education Act of 1965, authorized a national education program for disadvantaged children. Section 101 of that law, as amended through the 94th Congress, 1st session, states in part:

> ...the Congress hereby declares it to be the policy of the United States to provide financial assistance (as set forth in this part) to local educational agencies serving areas with concentrations of children from low-income families to expand and improve their educational programs by various means (including preschool programs) which contribute particularly to meeting the special educational needs of educationally deprived children.

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* In 1967 State agency programs were not fully funded under the Title I enabling legislation therefore the appropriation was less than the authorization. In succeeding years, State agency programs were fully funded. Consequently, funds were appropriated to fund the full authorization.

In November, 1966, Title I of ESEA was amended by P.L. 89-750 to incorporate special provisions for migratory children of migratory agricultural workers. Section 103 of that law authorized "payments to State educational agencies for assistance in educating migratory children of migratory agricultural workers." The new program provided for grants to State educational agencies (SEAs) or combinations of such agencies to establish or improve, either directly or through local educational agencies (LEAs), programs and projects designed to meet the special educational needs of migratory children of migratory agricultural workers. P.L. 89-750 also provided that grant monies were to be used for interstate coordination of migrant education programs and projects, including the transmittal of pertinent information from children's school records; and for coordination with programs administered under Title III-B of the Economic Opportunity Act of 1967 (Special Programs to Combat Poverty in Rural Areas) Public Law 90-247 (the Education Amendments of 1968) extended participation in the program to formerly migratory children--those children whose parents have left the migratory stream and settled in one place. With the concurrence of their parents, such children may be considered migratory for up to five years after the settling out period. It was not until Public Law 93-380 (the Education Amendments of 1974), however, that a provision was made for the counting of such children for funding purposes. Section 101 of Public Law 93-380 (the Education Amendments of 1974) further amended Title I to include migratory children of migratory fishermen in addition to migratory children of migratory agricultural workers.

In discussions associated with the preparation of the Educational Amendments of 1974 (P.L. 93-380) Congress emphasized "that local educational agencies should give priority attention in operating Title I programs to the basic cognitive skills in reading and mathematics and to related support activities to eliminate physical, emotional or social problems that impede the ability to acquire such skills."*

Proposed regulations (Federal Register Volume 40; No. 131; P. 28622) for the migrant program emphasize the same point with the inclusion of the following criteria for the approval of State applications (section 116d.39(b)): Services to be provided show reasonable promise of meeting the special educational needs of migratory children ... particularly with respect to improvements in the educational performance of children in the basic programs of instruction. In addition, section 116d.38(a) of the proposed regulations state: Health, welfare and other supporting services may be provided, but only to the extent necessary to enable eligible school age and preschool children to participate effectively in instructional services that are designed to bring about an improvement of educational performance.

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* See pp. 20-21 of House Report No. 93-805). Both House and Senate discussions (see Senate Report No. 93-763, pp. 30-31) recognized that such an assertion was not intended to preempt the prerogatives of local authorities to give priority to other areas (e.g., teacher training) if such emphases were required to better meet the needs of disadvantaged children.

10. Provide a program of home-school coordination which establishes relationships between the project staff and the clientele served in order to improve the effectiveness of migrant programs and the process of parental reinforcement of student effort.

11. Increase staff-self-awareness of their personal biases and possible prejudices, and upgrade their skills for teaching migrant children by conducting inservice and preservice workshops.

An implicit goal of the migrant education program is to identify and recruit eligible migrant students in order that they may benefit from "regular" and supplementary educational and supportive services. In the case of migrant students, recruitment requires special efforts. Migratory workers and their children have long been ignored by the rest of society, and attitudes precluding their participation in the educational process must be overcome.

Program Operations

The Title I program for migratory children is a State-administered program which may involve financial assistance to local educational agencies as subgrantees. Administrative responsibilities are shared by the U.S. Commissioner of Education, State educational agencies (SEAs), and local educational agencies and other public and non-profit private organizations which operate migrant projects. Funding of local Title I migrant projects is administered by USOE through State educational agencies (SEAs). The formula for computing the maximum grant a State may receive is based on the number of full-time (that is, formerly migrant students) or full-time equivalent (that is, currently migrant students), school-aged (5-17 years), migrant children residing in the State. Unfortunately, the true number of migrant children is not known. Previous to FY 1975, estimates for each State were obtained by multiplying the number of migratory workers residing in the State (information provided by the employment offices of the U.S. Employment Service) by seventy-five (75) percent. Section 101 of P.L. 93-380 (the Education Amendments of 1974) provides that the number of migrant children will henceforth be estimated from "statistics made available by the migrant student record transfer system or such other system as (the Commissioner) may determine most accurately and fully reflects the actual number of migrant students." Beginning in FY 1975 State allocations were based on information contained in the MSRTS.

In May, 1971 the State Migrant Coordinators adopted eleven national goals formulated by the Committee for National Evaluation of Migrant Education Programs. Although these goals do not constitute a clear-cut, easily implemented list of objectives toward which migrant programs can be directed, they do provide some indication of the types of instructional and supportive services which migrant programs are expected to provide, and may serve as a basis for a more measurable set of objectives in the future.

Instructional Services

1. Provide the opportunity for each migrant child to improve communications skills necessary for varying situations.
2. Provide the migrant child with preschool and kindergarten experiences geared to his psychological and physiological development that will prepare him to function successfully.
3. Provide specially designed programs in the academic disciplines (Language Arts, Math, Social Studies, and other academic endeavors) that will increase the migrant child's capabilities to function at a level concomitant with his potential.
4. Provide specially designed activities which will increase the migrant child's social growth, positive self-concept, and group interaction skills.
5. Provide programs that will improve the academic skill, prevocational orientation, and vocational skill training for older migrant children.
6. Implement programs, utilizing every available Federal, State, and local resource through coordinated funding, in order to improve mutual understanding and appreciation of cultural differences among children.

Supportive Services

7. Develop in each program a component of intrastate and interstate communications for exchange of student records, methods, concepts, and materials to assure that sequence and continuity will be an inherent part of the migrant child's total educational program.
8. Develop communications involving the school, the community and its agencies, and the target group to insure coordination of all available resources for the benefit of migrant children.
9. Provide for the migrant child's physical and mental well being by including dental, medical, nutritional, and psychological services.

Proposals to operate a migrant project are submitted to SEAs by local educational agencies (LEAs) which serve migrant students, and by other public and nonprofit private organizations providing they do not operate private schools (note that proposals are submitted on a voluntary basis). Section 116d.6 of the proposed regulations provides that proposals shall describe the objectives to be achieved by the operating agency for each grade level, the total estimated number of children to be served by the agency by grade level, the services to be provided to achieve the stated objectives, the types and number of staff to be employed, and an appropriate budget.

The SEA is directly responsible for the administration and operation of the State's Title I migrant program. The SEA approves or disapproves project proposals, and is responsible for the design and preparation of State evaluation reports. Annually, each SEA also submits a comprehensive plan and cost estimate for its statewide program to the Office of Education for approval. Section 116d.31 of the proposed regulations provides that this plan is to contain information on the number and location of migrant students within the State, their special educational needs including educational performance and cultural and linguistic background, program objectives, services to be provided to meet those objectives, evaluation procedures for determining program effectiveness, locally-funded facilities and services to which migratory children will have access, and the types of information which the SEA will pass on to other SEA's to insure continuity of services. In addition, each State application form is to contain an appropriate budget. Section 116d.30 of the proposed regulations further provides that the Commissioner shall approve a State application only if it demonstrates that payments will be used for projects designed to meet the special educational needs of migratory children including provision for the continuity of educational and supportive services, and full utilization of the migrant student record transfer system.

If the State's application is approved, it is awarded a grant, entirely separate from its regular Title I allocation, to finance the migrant program. SEAs are required to submit to the Commissioner of Education individual project summaries indicating in sufficient detail the manner and extent to which State objectives and priorities are being met.

The statute also includes special arrangements whereby the Commissioner may conduct migrant programs. If the Commissioner determines that a State is unable or unwilling to conduct education programs for migratory children or that it would result in more efficient and economic administration or, that it would add substantially to the welfare or educational attainment of such children, he may make special arrangements with other public or nonprofit private agencies in one or more States and, may use all or part of the grants available for any such State.

In order to implement a migrant project, operating agencies must identify and recruit migrant children in their respective attendance areas. Eligible children are currently categorized into three groups as defined below:

1. Interstate - A child who has moved with a parent or guardian within the past year across State boundaries in order that a parent, guardian, or member of his immediate family might secure temporary or seasonal employment in agriculuture or in related food processing activities. The parent or guardian and child are expected to continue in the migrant stream.

2. Intrastate - A child who has moved with a parent or guardian within the past year across school district boundaries within a State in order that a parent, guardian, or member of his immediate family might secure temporary or seasonal employment in agriculture or in related food processing activities. The parent or guardian and child are expected to continue in the migrant stream.

3. Settled Out - A child of a family who once followed a migrant stream but who decided not to follow the crops but to "settle out" in a given community. The eligibility of children in this category to participate in projects funded under Public Law 89-750 continues, with written consent of the parents, for a period of five (5) years after the parents have settled out.

Section 116d.2 of the proposed new regulations make two changes in the above definition. It provides for two categories of migrant children as defined below, and it further refines the meaning of movement across school district boundaries by including movement across a school attendance area in those cases where the school district boundary coincides with a State boundary.

1. "Currently migratory child" means a child (1) whose parent or guardian is a migratory agricultural worker or migratory fisherman; and (2) who has within the past twelve months moved from one school district into another (or, in a State comprising a single school district has moved from one school attendance area into another) in order to enable the child, the child's guardian, or a member of the child's immediate family to obtain temporary or seasonal employment in an agricultural or fishing activity.

2. "Formerly migratory child" means a child defined by section 122(a)(3) of the Act. That section provides that: "With the concurrence of his parents, a migratory child of a migratory agricultural worker or migratory fisherman shall be deemed to continue to be such a child for a period, not in excess of five years, during which he resides in the area served by the agency carrying on a program or project under this part."

It is the intent of the Title I migrant program to serve those children with the greatest need. Section 122 of the Education Amendments of 1974 (P.L. 93-380) provides that currently migrant children should be given priority in the design and operation of migrant projects. Section 116d.35 of the proposed regulations thus provides that formerly migratory children may participate in projects which include currently migratory children or may participate in projects developed solely for formerly migratory children provided that their participation will not prevent the participation of currently migratory children nor dilute the effectiveness of programs for such children. In addition, the statute includes provision for the preschool educational needs of migratory children as long as such programs do not detract from the operation of projects for currently migratory children.

Another important component of the national program is the Migrant Student Record Transfer System (MSRTS). This computerized data system receives, stores, and transmits educational and health information on children participating in Title I migrant projects in 47 continental States and Puerto Rico. Schools are responsible for submitting health-related, and educational experience and status information, about the migrant children they serve to the local terminal operator in order to maintain the accuracy, completeness, and currency of information in the student record transfer system. When children move to new locations, this information can be retrieved by their new teachers, and by school health officials. To meet the need for continuity of educational services, State Migrant Coordinators are in the process of developing lists of criterion-referenced reading and math skills. These will be added to the MSRTS files so that as students move from one school to another their record will indicate which reading and math skills they have mastered. In this way, teachers will be able to continue the efforts of their predecessors and plan an appropriate educational program for each child.

The Migrant Student Record Transfer System has also been used to meet the needs of secondary school students who are often unable to graduate from high school because their mobility prevents them from meeting minimum attendance requirements necessary to receive high school course credit. The Washington State Migrant Education Program in cooperation with the Texas Migrant Education Program developed a program known as the Washington-Texas Secondary Credit Exchange Project, a combination of night school and coordination with the students' home base schools to insure proper crediting of course work. Results of a pilot project indicated that 176 program participants accrued 386 course credits which were then transferred via the MSRTS, to their home base districts.

In addition to the above, during the past year 23 States participated in an East Coast Interstate workshop to develop interstate plans for the various migrant education program components: preschool, occupational training, bilingual, mathematics, language arts, health, parental involvement, enrichment activities, and supportive services. Each program component was structured on a performance objectives basis. The key issue was to provide educational continuity for participating migrant children through the inclusion of these components in all their State migrant program applications.

Program Scope

The Migrant Education Program is an important and growing program within Title I. It seeks to improve educational opportunities for a target population facing problems which are probably more severe than for any other group. Not only are migrant students typically educationally and economically disadvantaged in comparison to the rest of American society, but, in addition, migrant students by definition miss the systematically-sequenced and sustained educational programs available to most non-migrant children.

The following list indicates the number of full-time equivalent students who have participated in the migrant program since 1973:

Year	Full-time Equivalent Students
1973	212,473
1974	207,474
1975	267,791
1976	296,428
1977	

For the 1971-72 school year (including the summer of 1972), the Consolidated Program Information Report (CPIR) indicated that 232,000 children participated in regular school term and summer migrant projects. More than half of the participants were located in California, Florida and Texas. The CPIR also indicated that of $48.9 million of ESEA Title I migrant funds expended during this time period, 33% was devoted to English, language arts, and reading; 25% to other direct educational services; 17% to pupil services; and 25% to other expenditures.

More recent figures obtained from the Migrant Student Record Transfer System indicate that in FY 1975, 392,700 students in 8,000 school districts were served in the migrant program. Of these, 280,000 were in regular school term projects, and 112,700 were in summer school projects. Approximately 108,985 students were formerly migrant. A total of 10,961 migrant projects were in operation during FY 1975, of which 9,528 were conducted during the regular school term. Forty-eight states plus Puerto Rico initiated State migrant programs during FY 1975.

Program Effectiveness and Progress

The growth of the migrant program from 121 projects in 1967 serving approximately 43,000 students to 10,961 projects in 1975 serving approximately 400,000 students indicates that the target population is being identified and served.

The effects of educational and supportive services provided under the migrant program on participating students are difficult to document. A large-scale descriptive study of the migrant program has been completed by the Office of Education and a more formal evaluation is in progress. A brief description of the former, and the intent of the latter, are discussed below.

Section 507 of the Education Amendments of 1972 (P.L. 92-318) directed the Commissioner of Education to conduct a study of the operation of ESEA Title I as it affects the education of migrant children. To meet the Congressional mandate, site visits were conducted at 162 project schools in 72 school districts in ten States (California, Texas, Florida, Colorado, Michigan, New Jersey, New York, North Carolina, Ohio and Washington) which received more than 70 percent of the migrant program funds in 1972; 131 principals, 301 teachers, 150 teacher aides, 87 members of advisory committees, 395 parents and 435 students were interviewed. In addition, ten noteworthy migrant education projects were identified and visited during the summer of 1973 for case study purposes. Analysis of the data indicated that migrant students and their parents reflect the values of the larger society in that they are supportive of the goals of the educational system, and parents share their children's aspirations for employment outside of the migrant stream in white collar and blue collar positions. Unfortunately, the mobility patterns of migrant students make the task of providing them an effective educational program extremely difficult. Study findings indicated that migrant students tend to fall behind their non-migrant peers in grade level and in level of academic achievement in the earliest years of school and, thereafter, are never able to catch up. They are also less likely to enter or complete a secondary school program. Whereas the non-migrant child has a 95 percent chance of entering the ninth grade and an 80 percent chance of entering the 12th grade, the migrant child has only a 40 percent and an 11 percent chance of entering the ninth and 12th grades, respectively.

The data from the evaluation study seemed to indicate the need for the identification and/or design of effective elementary and secondary programs which meet the specific needs of the migrant child. A combination of economic support, effective remedial work and clear sequence of activities leading toward specific instructional and career goals, especially for the child at the secondary level, is essential. For the younger migrant child, enrichment experiences at the preschool level and an emphasis on basic skills in the early elementary grades is needed if the achievement cycle of retarded educational growth and high drop-out rates is to be broken. Greater emphasis is also needed in the development and dissemination of effective programs which result in the acquisition of basis skills and reduce the isolation of the migrant child from his non-migrant peers.

The provision of educational services to migrants also depends upon the implementation of effective recruitment programs and greater interstate and intrastate coordination. The Migrant Student Record Transfer System (MSRTS) has great potential as a storage and retrieval system for information on migrant children. It is likely that in the future teachers will be more systematic in their enrollment of students into the MSRTS, since it is the basis for funding, but unless a periodic audit is conducted, student records are not likely to meet the criteria of accuracy and completeness for their utilization as guides in the design and implementation of educational programs.

A GAO report (Sept. 16, 1975) on the Migrant Student Record Transfer System concluded that the data in the MSRTS were superior to Department of Labor data for estimating migrant program allocations. However, GAO was not able to attest to the accuracy of the System, an issue which will be addressed in the current Office of Education evaluation described below.

Ongoing and Planned Projects

The current Office of Education study of the migrant programs is designed to meet a number of objectives. In the area of program services, it will provide up-dated information on the nature of the educational and supportive services provided to migrant students in contrast to those provided to non-migrant students. In the area of program impact and effectiveness, a large-scale testing effort will provide information on the basic skill attainment of migrant students participating in migrant programs including the identification of exemplary project characteristics which foster academic achievement. To meet the requirements of section 151 of ESEA Title I, as amended, an evaluation handbook, including evaluation models and reporting formats designed for use by local, state, and federal evaluators, will be developed. In addition, since the data in the Migrant Student Record Transfer System is currently being used to determine the State-by-State allocation of migrant funds, a validation of that data will be conducted to insure its accuracy and completeness for funding purposes. Results of this evaluation will be reported in future annual evaluation reports as they become available.

Sources of Evaluation Data:

Consolidated Program Information Report, the Migrant Program, National Center for Education Statistics, 75-309F.

Education Briefing Paper, Title I Migrant Education Program, U.S. Office of Education, May, 1975.

Exotech Systems, Inc. Evaluation of the Impact of ESEA Title I Program for Migrant Children of Migrant Agricultural Workers. Volume I-IV. Falls Church, Virginia, January, 1974.

Federal Register, July 8, 1975, Volume 40, No. 131, p. 28622-28628.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name: Title I Program for Institutionalized Neglected or Delinquent Children

Legislation:	Expiration Date
Title I of the Elementary and Secondary Education Act of 1965, as amended	June, 1978

Funding History:

Year	Authorization	Appropriation
1967	$9,383,830	$2,262,153
1968	10,282,175	10,282,175
1969	13,946,100	13,946,100
1970	16,006,487	16,006,487
1971	18,194,106	18,194,106
1972	20,212,666	20,212,666
1973*	27,545,379	27,545,379
1974	25,448,869	25,448,869
1975	26,820,749	26,820,749
1976	27,459,444	27,459,444
1977	28,841,151	28,841,151

Program Goals and Objectives

As part of ESEA, Title I, the program for institutionalized neglected or delinquent children responds to the larger program's goals as stated in P.L. 89-10; that is, to

> "improve educational programs by various means ... which contribute particularly to meeting the special educational needs of educationally deprived children." (Section 101 of P.L. 89-10)

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*Beginning in 1973, unlike the previous years, there were funds authorized and appropriated to serve children in adult correctional institutions. About $6.8 million of the $7.3 million overall increase between 1972 and 1973 is attributable to the addition of that population.

The amendments in P.L. 89-750 passed on November 3, 1966, which added institutionalized neglected or delinquent youth (as well as children of migratory agricultural workers and Indian children in B.I.A. schools) to those eligible under P.L. 89-10, stated goals for these subprograms. With respect to the neglected or delinquent children, the law states that the funds must be used

> "only for programs and projects (including the acquisition of equipment and where necessary the construction of school facilities) which are designed to meet the special educational needs of such children." (Section 123 (c) of P.L. 89-10 as amended, underlining added)

More specific objectives have been stated by USOE as follows: "Special educational assistance to help meet the most crucial needs of institutionalized children should be directed toward their rehabilitation and development into self-respecting, law-abiding, useful citizens." (HEW guide for planning projects for children in institutions for neglected or delinquent children, February, 1967.)

Since then, more specific objectives have been formulated, such as that stated in the FY 1977 Budget Justification: "funds are concentrated on remedial education and individualized instruction since these children are generally two-to-four years behind their peers in educational achievement" (page 67).

Program Operations

The Title I program for children in institutions for neglected or delinquent youth or in adult corrections facilities is administered by USOE, state education agencies, the state agency responsible for educating children in institutions, and institutional or local education personnel. Such institutions whose children are eligible to receive services are defined in the proposed rules of October 22, 1975 as follows:

> (1) "An institution for neglected children means a public or private non-profit residential facility (other than a foster home) which is operated primarily for the care of, for at least 30 days, children who have been committed to the institution, or voluntarily placed in the institution, and for whom the institution has assumed or been granted custodial responsibility pursuant to applicable State law, because of the abandonment by, neglect by, or death of, parents or persons acting in the place of parents."

(2) "An institution for delinquent children means a public or private non-profit residential facility operated primarily for the care of children who have been adjudicated to be delinquent and for whom the average length of stay is at least 30 days."

(3) "Adult correctional institution means a residential institution in which persons above and below the age of 21 are confined as a result of having been adjudicated to be delinquent or having been convicted of a criminal offense." (Federal Register, October 22, 1975)

A Title I grant is made to the agency (state or local) responsible for educating the children residing in such institutions.

Hence, some institutionalized N/D children receive Title I services through the LEA within whose geographic boundaries their institutions are located. In this case--that of approximately 69,000 N/D children attending local schools--the LEA's grant is based on its concentration of children from low income families plus the number of N/D children (aged 5-17) residing in institutions or foster homes in the area (as determined by January caseload figures); expenditure of the grant funds should be commensurate with those two proportions (HEW guide for planning projects in institutions for N/D children).

Similarly, a state agency may be responsible for the education of children in institutions it operates or supports. It then, becomes the Title I grantee. Its grant is based on the average daily attendance of children receiving free public education in the institutions administered by that agency. The size of the grant is stipulated in section 123 (b) of the legislation to be that average daily attendance figure multiplied by 40% of the state's average per pupil expenditure (or to be no less than 80% of the U.S. average per pupil expenditure and no more than 120% of the U.S. average).* (Further, Section 125 of the same legislation states that no State agency shall receive less than 100% of what it received the previous year-a hold harmless.) In order to receive such grants, the local education agency** must (1) identify the institutions whose children will be served, the number of such children, and the age span of those children; (2) state the function of each such institution, the nature of its regular educational program, and the average length of stay of the children; (3) describe the results of a needs assessment of the children and a priority ranking of those needs; (4) state the objectives of the proposed program, the performance criteria, and the evaluation instruments and techniques to be used; (5) describe the services to be provided to meet those needs, the number of children to be served, their age and grade, and the inservice training to be offered to staff; (6) state a budget for the proposed project; (7) describe any construction activities to be undertaken with the Title I funds and the use intended for such structures; and (8) list equipment to be purchased with the Title I funds.

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* Except for Puerto Rico whose grant does not have the 80% U.S. average expenditure floor.

** --or state agency responsible for providing free public education in the state institutions for neglected or delinquent youth. (Section 403 (6)(B) of P.L. 81-874 established the inclusion of state agencies responsible for educating the institutionalized children under the term "LEA" for purposes of Title I. Hence, descriptions of duties and requirements of LEA's, with respect to Title I projects, apply also to those state agencies.)

The state education agency approves those project applications from LEA's or other state agencies which show evidence (1) that a needs assessment has been made; (2) that the services are intended to meet the special educational needs of children being served; (3) that the proposed project is of sufficient size, scope, and quality to give substantial promise of meeting those needs; and (4) that the services to be provided are not available from funds other than Title I (HEW Guide).

Program Scope

The Title I program in institutions for neglected or delinquent children continues to serve children from more institutions commensurate with its growth in funding. (See earlier figures.) In 1969, 48,000 children in 251 state institutions received services under Title I. The program's scope grew to children in 287 state institutions in 1971, and the estimates for the 1976-77 school year suggest that as many as 50,000 youngsters in 575 institutions will be served.

Similarly, the scope of the program in local schools has grown from 67,000 children in 1969 to 69,000 estimated for 1976-77. (Provision of Title I services to children attending local schools is supported under the Part A Basic LEA grant portion of the appropriations and is usually about one-fifth as large as that appropriated to serve children in the state institutions.)

Program Effectiveness and Progress

The addition of this program to Title I in 1966 represented the first federal effort to improve the educational experiences of children in institutions for the neglected or delinquent. Just as the objectives for the program have evolved since that time from a desire to "rehabilitate the children into self-respecting citizens" to a more specific goal of remediating their special educational handicaps, so, too, have the services changed. Although there is currently no information available at the federal level on the program's overall success at meeting its objectives, review of several state annual evaluations suggests that the achievement of some children is increasing at a rate faster than before they entered the institution.

Hence, several questions, in addition to the overall national impact of the program, remain unanswered. Although project and state evaluation reports suggest that the children do learn at faster rates, the educators question how long benefits from the Title I services are retained. What happens to the children when they leave the program? Are they enrolled in other compensatory projects in their new surroundings? A current GAO study is attempting to provide this information through follow-up interviews with children and institution personnel. Results will be available by spring, 1977.

USOE also needs more information about the nature of regular institutional educational programs, so that they know how Title I projects can best supplement the regular programs. Site visits to 100 state institutions, as well as interviews with a variety of state agency personnel, in the first phase of a new national evaluation should provide information addressing this area.

Ongoing and Planned Evaluation Studies

A national evaluation is underway to provide information not available at the State level. It has three major emphases: (1) the operations of the program nationwide such as OE-SEA-SAA-institution communication, institutional decisions about children to be served, measures used to diagnose problems and services provided to resolve them, etc., (2) the actual outcomes of services provided to the children, and (3) the development of models for State evaluation. The first area of emphasis will be covered in Phase I of the study, involving visits to 100 state institutions, their administrative agency, and the state education agency. Case reports will be written on each, and exemplary components of the Title I program will be described. Such information will be available by March, 1977.

The second and third areas of emphasis, that of the impact of the Title I services and model development, will be covered in Phase II of the project, scheduled to run from January 1977 to August of 1978. This phase will involve measuring the cognitive growth of the children at three points during the year, as well as their affective development.

Sources of Information

Federal Register, October 22, 1975, pages 49349 - 51.
State Annual Evaluation Reports, fiscal years 1972 and 73.
HEW Guide to Planning Projects, 1970.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Supplementary Educational Centers and Services; Guidance, Counseling and Testing

Legislation:

Title III of the Elementary and Secondary Education Act of 1965, as amended

Expiration Date:

June 30, 1976

Funding History:

Year	Authorization*	Appropriation
1966	$100,000,000	$ 75,000,000
1967	180,250,000	135,000,000
1968	515,000,000	187,876,000
1969	527,875,000	164,876,000
1970	566,500,000	116,393,000
1971	566,500,000	143,393,000
1972	592,250,000	146,393,000
1973	623,150,000	146,393,000
1974	623,150,000	146,393,000
1975	623,150,000	120,000,000
1976	**	72,865,755***

Program Goals and Objectives

Title III provided funds to support local educational projects designed to: (1) stimulate and assist in the provision of vitally needed educational services not available in sufficient quantity or quality; (2) develop exemplary educational programs to serve as models for regular school programs; and (3) assist the States in establishing and maintaining programs of guidance, counseling, and testing. For purposes of Title III an innovative project was defined as one which offers a new approach to the geographical area and is designed to demonstrate a solution to a specific need, and an exemplary project was defined as one which has proven to be successful, worthy of replication and one that can serve as a model for other systems.

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*An amount of 3 percent of funds appropriated is authorized for allotment to outlying areas, to schools operated by the Bureau of Indian Affairs and to overseas dependent schools operated by the Department of Defense.

**ESEA, Title III is consolidated under Title IV Part C by P.L. 93-380. Under P.L. 93-380, no funds are authorized for ESEA III in any year in which funds are provided for by Title IV, Part C.

***Under P.L. 93-380, in the first year in which appropriation were made to Title IV, Part C, 50 percent of the funds so appropriated were available to the States to carry out programs pursuant to the titles included in the consolidation.

Beginning in FY 1971, 85 percent of the Title III funds were directly controlled by the States. The only restrictions on the use of the State administered funds were: (1) 15 percent must be used for projects for the handicapped, and (2) expenditures for guidance, counseling, and testing purposes must be equal to at least 50 percent of the amount expended by each State from funds appropriated for FY 1970 for Title V-A of the National Defense Education Act.

The remaining 15 percent of Title III funds were administered by the Commissioner of Education, under Section 306, to support the development by local school districts in each State of solutions to problems critical to all or several of the States.

In FY 1974 the Commissioner determined, with advice from State and local school personnel and representatives of national Title III organizations, that a major thrust of Title III section 306 would be to foster the dissemination and implementation of exemplary projects. Although Title III's Identification, Validation and Dissemination Strategy under the state plan portion would be continued, it handled intrastate dissemination only. Accordingly, to assure that successful programs developed with OE support in one location would be adopted and implemented in school districts with similar needs across the nation, a number of grants under section 306 were awarded to fund (1) the establishment of a National Diffusion Network, and (2) the implementation of exemplary projects in a number of sites through the use of packaged projects called Project Information Packages or through other means.

Through the "Identification, Validation, Dissemination" strategy (IVD) states use three criteria -- effectiveness, exportability and cost effectiveness -- to determine the success of Title III projects. Projects are validated through an on-site visit by three or more out-of-state trained validators who validate the evidence presented by the local school district. Projects meeting these criteria then become part of a pool of exemplary projects for dissemination to other school districts within the respective State.

The National Diffusion Network was intended to disseminate and promote the implementation of exemplary programs nation-wide which passed the OE/NIE Joint Dissemination Review Panel. The network was established through the award of grants to 35 project developer sites called Developer/Demonstrators (DD's) and to 52 State Facilitators (SF's) located in 30 states.

Developer/Demonstrators were local school district sites where exemplary projects were developed and were currently operating. DD's responsibilities as participants in the Network included: (1) preparing and disseminating information about their project, (2) providing training and technical assistance to adopting districts, and (3) providing observation opportunities for potential adopter sites. State Facilitators, also local school districts, were responsible for: (1) working closely with State Departments of Education and Developers/Demonstrators to match the needs of school districts in their respective states with DD projects, (2) providing information about DD projects to interested school districts, and (3) helping to defray costs of training or introducing the new program in the adoption site.

Related to the exemplary project dissemination and implementation thrust in FY 1974 was the support of the field test of six Project Information Packages (PIPs) in 19 school sites **throughout the country. Each** Project Information Package was designed to provide all of the information a school district would need to implement and operate an exemplary education project. The PIP effort was designed to investigate whether through carefully packaging and describing the key features and project implementation processes of successful projects (in compensatory education), the PIP could serve as the primary transmitter of each successful project, with a minimum of involvement by the staff at the developer site.

Another significant thrust in FY 1974 was in the area of child abuse and neglect. Here, three model training programs were designed to prepare teachers to identify children who are victims of child abuse and neglect, to make proper referral of these children to other individuals or agencies for help and to work more effectively with such children in their classrooms and with the children's parents.

In FY 1975 the Commissioner decided to continue to foster the dissemination and implementation of exemplary projects through the same activities as indicated above for FY 1974. In addition to continuing the exemplary project dissemination and implementation thrust, the Commissioner announced two new major priority areas for the discretionary portion (Section 306) of ESEA, Title III in FY 1975. The first, designated the Early Childhood Outreach Program, was to be implemented by awarding a number of grants to local school districts to enable the schools to assume a new role in assisting parents and parenting persons, such as day care center and nursery school workers, babysitters, and other persons having direct contact with young children to respond more effectively to their needs. The second new priority in FY 1975 was to support projects to train local school administrators in the application of performance-based management techniques to assure optimal use of limited resources to meet the most critical education needs in their schools.

Program Operations:

The state plan portion of Title III, 85% of the funds, were administered directly by the states in the form of grants to local school districts. Under this State Plan portion of Title III, states qualified for funding by submitting an annual State Plan to the U.S. Commissioner of Education for approval, following the requirements set forth in the program regulations. These regulations required that state plans shall: (1) identify critical educational needs, (2) develop evaluation strategies, (3) provide for the dissemination of information about projects determined to be innovative, exemplary, and of high quality and (4) review and fund projects based on the state's assessed educational needs. Following approval of the State Plans, funds were then allocated on the basis of a population formula.

Under the federal discretionary portion of Title III fifteen percent of each state's Title III allotment was awarded, through a national competitive process, directly to local school districts from the Federal office. Of each such State allotment, fifteen percent was designated by law for the support of demonstration projects addressing improved approaches to the education of handicapped children.

Program Scope:

In the State Plan portion (85%) of Title III, over 1,600 demonstration projects that involved 7.0 million students were funded in FY 1973. Approximately 1800 demonstration projects were funded in both FY 74 and FY 75. In '74, forty four states reported that they served 6.1 million students, and in FY 75 the same forty four states reported that they served 6.8 million students. Information for FY 76 is not available at this time.

In the federal discretionary portion (15%) of Title III, the emphasis in FY 1974 was placed on the dissemination and adoption of successful educational projects. Of the 238 grants awarded in FY 1974, about 167 were awarded for this purpose; 36 were for the improved education of handicapped children; three were for training teachers to deal more effectively with victims of child abuse; and 32 were continuations of various types of projects funded the year before. In FY 1975, 140 grants were awarded to disseminate and promote the adoption and implementation of proven educational practices. Forty-one early childhood outreach projects were funded; 39 for programs for the handicapped, 25 in the area of performance-based management, five to improve mathematics achievement of disadvantaged children, three in the area of child abuse, and seven in other areas.

Whereas the primary target population of Section 306 grants has traditionally been elementary and secondary school age children, funding strategies in FY 1974 and 1975 saw a shift to teachers, administrators, and parents as the primary target in many grant categories. In FY 1974, about 76 percent of the persons directly served by the diffusion grants were teachers and 24 percent administrators and community people. The target population of the early childhood outreach projects is parents of preschool children; of performance-based management training, local school administrators; and of child abuse projects, classroom teachers.

Of the 17 grants to school districts for the purpose of implementing a successful project via a PIP, approximately 53 schools and 3,500 students were the beneficiaries.

Program Effectiveness and Progress:

The discretionary and State Plan portions of Title III funded diverse types of projects with a variety of goals. It was therefore not possible nor desirable to assess overall program effectiveness in terms of impact on a few student outcomes. Although the usual image of Title III was that of a demonstration program, the legislation has from the beginning included language which called for the provision of services. The importance of the service aspects of the program increased when the merger of Title III with NDEA V-A in 1970 permanently set aside a portion of the funds for the maintenance of programs in guidance, counseling and testing. Notwithstanding the legitimacy of local projects providing services, most parties concerned with the national objectives of the law (i.e. the Congress, OE, the National Advisory Council on Supplementary Plans and Services) stressed those aspects of the programs which fostered the demonstration and spreading of good, innovative practices in education.

In the earlier years of Title III the President's National Advisory Council expressed some concern that the program was emphasizing services rather than innovation, (Annual Report, 1969). However in later reviews (Annual Report, 1971, 1972, 1973, 1974) the Advisory Council found the record more encouraging on the basis of selected projects and in 1974 reported that "as the portion of ESEA providing local school districts with the seed money they need to find innovative answers to educational problems, Title III has proved its worth."

Aspects of the continuation question have been explored in early years by Hearn (1969), Polemeni (1969) and later by Brightman (1971). Brightman found that 76 percent of the projects funded for three years between 1968 and 1971 were continued at least in part after federal funding was withdrawn. The continuation question is currently being investigated further by the RAND corporation, under contract to the U.S. Office of Education, as part of a study currently in progress entitled Federal Programs Supporting Educational Change. The results of this investigation should shed further light on the continuation issue.

Whether or not Title III projects **have** served as models which other schools or districts have adopted fully or in part has been a difficult question for researchers to answer because project people oftentimes do not know whether or not interested parties have in fact been able to replicate their Title III projects. Brightman (1971) found that when school superintendents were asked if their projects had been adopted in full by other school districts, 14.8% answered "YES", 53.0% answered "NO", and 32.2% were uncertain. When asked if the projects had been adopted in part by the other school districts, 45.4% answered "YES", 13.3% answered "NO", while a surprising 41.0% were uncertain. These figures represent superintendents' opinions, which are probably based in most cases on an expression of intent from other districts. No attempt was made in this study to verify that projects had, in fact, been adopted elsewhere in full or in part. Further examination of this issue is included in the study of Federal Program Supporting Educational Change (in progress). Preliminary findings from this study indicated that for projects funded between 1970 and 1974 there was very little activity by the projects or the States to disseminate the projects within or outside the school district which developed the project. Although the National Advisory Council, in its 1974 report, noted that much progress had been made in the identification and validation of Title III projects,* it recommended that more attention needed to be paid to disseminating information on Title III projects that work.

In keeping with this recommendation, the National Diffusion Network (NDN) was established to enable successful educational projects to be spread to other school districts across the nation. In addition, grants were awarded to 17 school districts for the implementation of one or more exemplary compensatory education project(s) through the use of a Project Information Package (PIP).

Important steps in the diffusion-adoption process employed by the Network include creating awareness in new school settings of the successful projects, arousing interest in specific projects, and securing commitment to adopt or adapt an appropriate project that meets local needs. Participating in training to implement a project is the first activity in which a new school site is involved after it commits itself to adopting a project.

An evaluation of the Network's operations and effectiveness as a delivery system for varied types of projects and the extent to which it contributes to the adoption and implementation of projects in full or in part elsewhere is currently in progress. The study which began in July 1975 is being conducted by Stanford Research Institute under contract to USOE. Preliminary results of the study indicate that during the first year of operation of the NDN approximately 27,000 school administrators, teachers, and auxiliary personnel in 1,800 school districts received training and assistance in adopting a JDRP-approved project. In addition, most of the diffusion-adoption activites occured in those states which had a Diffusion agent; where such agents were absent, very little dissemination and adoption of JDRP - approved projects took place. The study will be completed in the winter of 1977 and therefore effectiveness data pertaining to the Network is consequently not available at this time.

The other major activity funded with Title III FY 74 and FY 75 discretionary money was the implementation of PIP projects in 17 school districts throughout the country. Evidence to date from a USOE sponsored study examining PIP project implementation indicates that projects installed via a Project Information Package were well implemented and received by the project schools. (For more information about this effort see the evaluation report for the Packaging and Field Testing Program).

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* Title III's IVD strategy has resulted in 271 validated projects: 107 in FY 1973, 84 in FY 1974 and 80 in FY 1975. Seventy-three of these validated projects have further been submitted to and approved by the Office of Education and NIE's Joint Dissemination Review Panel for national dissemination.

Addendum: Federal Programs Supporting Change

ESEA Title III is but one of several Federal programs aimed at promoting educational change in schools by paying for the costs of innovative projects for a trial period. **While Title III has expired, its** successor, ESEA Title IV Part C, and other change agent programs will continue. In addition, a new Federal program, the Special Projects Act, began in FY 76. An on-going evaluation being conducted by the RAND Corporation is looking at four change agent programs: Title III, Right-to-Read, Vocational Education, Part D and ESEA Title VII, Bilingual Education. The purpose of the study is, in brief, to identify the nature, permanence and extent of dissemination of innovations that are associated with the foregoing programs and with various federal, state and local practices. School district projects studied included ones with foci of reading, career education, bilingual education, classroom organization (e.g., open classrooms), and staff development (e.g., training teachers to use behavior modification techniques). In addition, all school district projects studied had been operating for several years when they were first examined in 1974. Some of the key preliminary results are summarized below.

The most striking and far-reaching conclusion from the RAND study to date is that school districts that undertook change in conjunction with one of the federal programs, frequently did not follow what had been assumed to be the logical steps of identifying a local need or problem, searching for alternative solutions, implementing a well-defined innovation, assessing the results and using them to make a judgment about permanent incorporation of the innovation into the schools system. The fact that deviations from these steps were frequently observed may imply that some fundamentally different approaches to bringing about changes in schools will be needed. The innovative projects examined were initiated with either opportunistic (designed primarily to take advantage of the availability of external funding with relatively little LEA commitment to project goals) or problem-solving (when the project is seen as helping meet local needs) motives. The innovations associated with opportunistic projects generally did not become incorporated into school systems while the problem-solving ones generally did. The difficulty facing the Federal government or other funding agencies is how to distinguish the two types prior to grant award.

A second noteworthy finding is that even in cases where the LEA followed the problem-solving approach, it did not ordinarily make a broad search for alternatives. Apparently local administrators were skeptical about the reported "success" of educational methods in other districts and preferred to use information or treatments already known to local district personnel. Information about practices elsewhere seldom went beyond the level of simple awareness. Even when an innovation was basically new to a district, there was a preference for doing further developmental work (e.g., local production of instructional materials) and adapting the innovation to what were seen as peculiar local conditions. The fact that LEAs appear not to make broad searches for alternatives must certainly impede the spread of worthy innovations. Advocates of large-scale dissemination activities will have to address this limitation as well as the perceived and perhaps real need to make major local adaptations of innovations.

Successful project implementation was characterized by mutual adaptation in which the innovation was modified to suit local conditions and the formal and informal organizational relationships among staff and among teachers and students were also altered. Unsuccessful implementations took several forms: in some cases, the whole project broke down early with no implementation at all; in other cases, the implementation was only pro forma or such that the innovation was coopted by the local participants and traditional practices were continued but mislabled as innovation.

The RAND study examined the factors which are conducive to successful implementation and while the results are too numerous to discuss in this short summary it may be noted that Federal policies had little effect, one way or the other, on project implementation. That is, while the Federal change agent policy clearly stimulated the initiation of innovative projects, Federal policies had little effect upon the quality or seriousness of the implementation efforts. This result is probably to be expected given the fairly minimal involvement of the Federal personnel in local projects.

Decisions to continue an innovative project or incorporate some or all features of the innovation into the mainstreams of district practice were based upon how LEA officials perceived the project--whether it was (1) "successful", (2) affordable, (3) important to the district's priorities, and (4) politically acceptable. In the case of opportunistic projects, the answers to the first three points were usually negative, while in the case of problem-solving projects the answer to all four were often positive. It is important to note that the superintendent's perception of project "success" seemed to reflect attitudes formed during initiation of the project rather than after evaluation, which was seldom considered seriously. This is consistent with the finding that the initial adoption of an innovation usually results from a subjective process rather than the consideration of evidence of success generated from tryouts of the innovation in other settings.

Even when districts do not continue projects, the innovation might be continued at the classroom level, especially when the innovation replaced existing practice rather than being a supplemental activity. Thus, incorporation into the mainstream was more likely when projects had the following characteristics: an emphases on training focused on practical classroom issues rather than on theoretical concepts, and local development of materials rather than reliance on outside consultants.

The dissemination of successful ideas and activities is usually seen as an important role for change agent programs. The RAND study results are on preliminary in this area but indications are that few districts engage in inter-district dissemination. This, of course, may be the natural corollary of the finding that LEAs seldom look outside their own districts for information and guidance. A surprising finding, however, is how little intra-district diffusion of change agent project strategies and materials there was.

Ongoing and Planned Evaluation Studies:

1. Federal Programs Supporting Educational Change

The purpose of the first phase of this study was to examine four federally funded programs (Title III and the other demonstration programs) designed to introduce and spread innovative practices in the schools and identify what tends to promote various kinds of changes in schools and what doesn't. To answer this question the study examined school characteristics, project characteristics, project implementation strategies and federal program management. This phase of the study has been completed and the results were presented in a report in the spring of 1975. The purpose of the second phase of the study (in progress) is to determine the extent to which Title III and VII projects are continued after federal funding has expired. The final report is expected in the winter of 1977.

2. Evaluation of the Field Test of Project Information Packages

The purpose of this two year study is to evaluate the process by which packaged educational projects are implemented in order to determine the viability of disseminating exemplary projects for implementation by school districts via an exportable package. The first year of the evaluation has been completed. It focused on the installation and operation of the packaged educational approaches. The focus for the second year of the study (in process) is to determine the impact of the projects on student achievement and to explore the school districts intentions for continuing the projects after federal funding is withdrawn. Preliminary results were presented in the first year report of 1975. The final report of the field test evaluation is expected in the winter of 1977.

3. Evaluation of the National Diffusion-Adoption Nework

The purpose of this study (in progress) is to examine the operations of the various participant groups in the Network (i.e., Developers, Facilitators, State Education Agencies and school districts) and examine the following aspects of the Network operations:

- the adoption process--how adoptions occur and what time, effort, and cost factors are associated with successful adoptions.

- the mediating process--what tactics and strategies are used by developers and facilitators to diffuse the DRP--approved programs and how these differ in effectiveness.
- context and receptivity--what factors tend to predispose a local Education Agency to interact with others in the Network and to adopt one of the available programs.
- program features--what types of programs lend themselves to diffusion through the Network and to successful adoption by interested Local Education Agencies.

On the basis of information relevant to each of these major aspects of Network operations, the Network's impacts on Local Education Agencies will be examined in order to assess its overall effectiveness in stimulating the sharing of successful programs. The final report is expected in the winter of 1977.

Sources of Evaluation Data:

Annual State Reports, ESEA Title III.

Berman, P., and M. W. McLaughlin, Federal Programs Supporting Educational Change, Volume II: The Finds In Review: The Rand Corporation, Santa Monica, California, 1975.

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

School Libraries and Instructional Resources

Legislation:

Elementary and Secondary Education Act, Title IV-B

Expiration Date:

1978

Funding History	Year	Authorization	Appropriation
	1976 1/	$395,500,000	$68,665,000 2/
	1977	Indefinite	147,330,000 3/

Program Goals and Objectives:

ESEA Title IV, Part B, is a formula grant program in which three categorical programs were consolidated to provide State education agencies with more flexibility in the use of appropriated funds. The three programs consolidated in the Libraries and Instructional Resources program were School Library Resources, ESEA, Title II; School Equipment and Minor Remodeling, NDEA, Title III; and the Guidance, Counseling and Testing portion of ESEA, Title III.

The purposes of this program as specified by the legislation, are acquisition of school library resources, textbooks, and other instructional materials; instructional equipment for use in the academic subjects, and minor remodeling; testing, counseling, and guidance programs for students in elementary and secondary schools, and programs, projects, and leadership activities to strengthen counseling and guidance services.

Program Operations:

Program funds are allocated to each State from the amount appropriated to carry out Part B in an amount which bears the same ratio to the total as the number of children aged five to seventeen, inclusive, in the State to the number of such children in all the States. The State is required to distribute these funds among local education agencies (LEA's) according to the enrollments in public and nonpublic schools within the school districts of such agencies, except that substantial funds will be provided to (i) LEA's who have a substantially greater tax effort for education than the State average, but whose per pupil expenditure is no greater than the State average, and (ii) LEA's which have the greatest proportions of children

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1/ Advance funding approved July , therefore, no Transitional Quarter funds were appropriated.

2/ Advance funding from FY 1975 appropriation for FY 1976.

3/ Advance funding from FY 1976 appropriation for FY 1977.

whose education imposes a higher average cost, e.g., low-income children, rural children, and children from families in which English is not the dominant language. Local educational agencies are given complete discretion (subject to provisions for equitable participation by private school children) in determining which Part B program purposes they will elect to fund.

Program Scope:

The 50 States, District of Columbia, Puerto Rico, American Samoa, Guam, Trust Territory of the Pacific Islands, and the Department of the Interior (for children and teachers in elementary and secondary schools operated for Indian children by the Bureau of Indian Affairs) had ESEA Title IV program plans approved by the U.S. Commissioner of Education for Fiscal Year 1977. Of 16,163 local educational agencies in 44 States, 12,551 or 77.7% had approved Part B projects in Fiscal Year 1976.

Program Effectiveness and Progress:

The following table contains preliminary data showing expenditure of Part B funds in Fiscal Year 1976 from 44 States. Expenditures to benefit private school children were not available from 3 States.

	Public	Private	Total	Percent
School Library Resources and Other Instructional Materials	$19,800,900	$1,941,524	$21,742,424	50.5
Textbooks	857,593	224,228	1,081,821	2.5
Equipment	13,726,929	618,271	14,345,200	33.3
Minor Remodeling	260,421	-	260,421	0.6
Testing	1,052,499	124,115	1,176,614	2.7
Counseling and Guidance	4,283,266	168,678	4,451,944	10.4
	$39,981,608	$3,076,816	$43,058,424	100.0
	(92.9%)	(7.1%)		

States and local educational agencies have made a smooth transition from categorical to consolidated programs. Substantial amounts of Part B funds have been directed to benefit children whose education imposes a higher than average cost per child and children in local educational agencies with higher than average effort but low per pupil expenditures for education.

Private school children were able to participate equitably in the program because of the special efforts made by State and local education agencies and State Title IV Advisory Councils to this end.

Ongoing and Planned Evaluation Studies:

A study planned for FY 1977 will examine the implementation and management of the program. State Advisory Councils are required to evaluate the scope and quality of all Part B programs and projects.

Sources of Evaluation Data:

Preliminary program data summarized from annual reports for Fiscal Year 1976 submitted by State education agencies.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

School Library Resources

Legislation:

Elementary and Secondary Education Act, Title II-B

Expiration Date:

1978 1/

Funding History	Year	Authorization	Appropriation
	1966	$103,000,000	$100,000,000
	1967	128,750,000	102,000,000
	1968	154,500,000	99,234,000
	1969	167,375,000	50,000,000
	1970	206,000,000	42,500,000
	1971	206,000,000	80,000,000
	1972	216,300,000	90,000,000
	1973	226,600,000	100,000,000
	1974	226,600,000	90,250,000
	1975	226,600,000	95,250,000
	1976	226,600,000	45,951,951 2/
	1977	226,600,000	-0-

Program Goals and Objectives:

The legislative purpose of this program was to provide for the acquisition, cataloging, processing, and delivery of school, library, textbooks, and other printed and published instructional materials for use by children and teachers in public and private elementary and secondary schools. Funds were made available for the administration of a State plan, and to LEA's for making loaned materials accessible to teachers and students in public and private schools.

Program Operation:

Under ESEA II, funds were allotted to States on a formula based on the number of school children enrolled in private and public schools in the

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1/ The Education Amendments of 1974 (P.L. 93-380 Title IV, Part B) authorized a consolidation of three categorical programs with advanced funding. ESEA Title IV became effective July 1, 1975. During the first year 50 percent of the program funds were administered categorically. The other half were combined with NDEA Title III-A, ESEA II, and the Guidance, Counseling, and Testing portion of ESEA III as Part B, "Libraries and Learning Resources" and may be allocated at the States' discretion.

2/ Advance funding approved July 1; therefore, no Transitional Quarter funds were appropriated.

State compared with National enrollment. State Education Agencies operated the program and allocated funds in accordance with a State plan which included assurances of administration under the relative need selection criteria, equitable treatment of private schools and maintenance of effort requirements. The acquisition program included the purchase, lease-purchase, or straight lease of instructional materials and the necessary costs of ordering, processing, cataloging materials, and delivery of them to the initial place at which they are made available for use. Administration included those executive, supervisory, and management responsibilities vested in State education agencies necessary to carry out State plans. Five percent of the amount paid to the State, or $50,000, whichever is greater, was available for administration of the State plan.

Program Scope:

Information about the old Title II comes from the annual reports from State departments of education used each fiscal year as the basis for program reports and from other publications on the program (See Sources of Evaluative Data following).

The reports show that very nearly all eligible public and private school students have benefited from this program. Title II was one of the foremost OE programs providing aid to private school students. (See Table I below.)

Funds expended for materials under Title II are shown in Table II. The proportion expended for audiovisual media has risen from 19 to nearly 50 percent, indicating significant interest and effort to use audiovisual media in elementary and secondary school teaching and learning. All media made available under the program have provided the increased quantities needed for innovative new teaching strategies, e.g., modular and flexible scheduling, individualized programs, interdisciplinary courses, inquiry learning, simulation, and games teaching.

Table I - Number of Students Served and % of Total Universe
(Estimate based on revised calculations, 11/5/75)

Fiscal Year	Public School Students (millions)	% of Universe
1969	39.2	86
1970	41.7	90.9
1971	42.5	92.4
1972	41.8	91.5
1973	42.2	93
1974	41.8	93
1975	41.3	93
1976	41.0	93

Table I (cont'd)

Fiscal Year	Private School Students (millions)	% of Universe
1969	5.1	93
1970	4.9	91.6
1971	4.5	87.7
1972	4.4	88.4
1973	4.7	96
1974	4.6	96
1975	4.5	96
1976	4.5	96

Table II. Funds expended for trade books, periodicals and other printed materials, textbooks, and audiovisual materials under ESEA Title II programs: Fiscal Years 1966-1976

Fiscal Year	Trade Books		Expenditures Periodicals and Other Printed Materials		Textbooks		Audiovisual Materials		Total in millions
	Amount (in millions)	%	Amount (in millions)	%	Amount (in millions)	%	Amount (in millions)	%	
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)
1966	$64.0	74.7	$2.2	2.6	$3.0	3.5	$16.5	19.3	$85.7
1967	62.6	69.9	2.4	2.7	3.1	3.5	21.4	23.9	89.5
1968	59.2	67.3	2.0	2.3	2.2	2.5	24.5	27.9	87.9
1969	29.2	65.3	1.6	3.6	1.6	3.6	12.3	27.5	44.7
1970	22.3	65.6	1.6	4.7	0.2	0.6	9.9	29.1	34.0
1971	38.3	59.2	1.7	2.6	1.1	1.7	23.6	36.5	64.7
1972	41.3	55.0	2.4	3.2	0.7	0.9	30.7	40.9	75.1
1973[1]	45.1	52.0	1.7	2.0	0.9	1.0	39.0	45.0	86.7
1974[2]	38.7	46.0	2.5	3.0	0.9	1.9	42.1	50.0	84.2
1975[2]	41.6	48.3	2.0	2.3	0.9	1.0	41.6	48.3	86.6
1976[2]	20.0	46.8	2.2	5.1	0.5	1.2	20.0	46.8	42.7
TOTAL	$462.4	59.9	22.3		15.2	2.0	281.6	35.4	781.4

[1] Revised Estimates

[2] Estimate 11/5/75

Program Effectiveness and Progress:

The latest data available (FY 1974) indicates the following about libraries in Public Elementary and Secondary Schools:

1. 52,345 Public Schools have libraries. This represents over 83 percent of all schools nationally.
2. There are 34,152 elementary school libraries. This represents almost 79 percent of all schools.
3. There are 17,076 secondary school libraries. 93.4 percent of all secondary schools have libraries.

The development of school libraries in great part can be traced to the ESEA II program.

It should be noted that ESEA Title II has:

(a) supported special non-traditional curriculum areas such as ecological and environmental education; drug abuse education; and career education.

(b) broadened and increased school curriculum offerings.

(c) changed teaching techniques by making so much more supplementary (including audiovisual) materials available.

(d) strengthened reading programs and attitudes toward learning.

(e) transformed school libraries into multi-media centers.

(f) ESEA II provided very effectively for the participation of non-public children and teachers.

Ongoing Planned Education Studies:

An evaluation study of ESEA Title IV-B&C is planned for FY 1977.

Sources of Evaluation Data:

1. First Annual Report, Fiscal Year 1966, ESEA Title II (OE-20108)
2. Second Annual Report, Fiscal Year 1967, ESEA Title II (OE-10108-67)
3. Third Annual Report, Fiscal Year 1968, ESEA Title II (OE-20108-68)
4. The Federal-State Partnership for Education, pp. 67-97 (OE-23050-70)

5. State Departments of Education and Federal Programs, pp. 98-125 (Oe-72-68)

6. Annual Report, Fiscal Year 1972, ESEA Title II (OE-73-21103)

7. Descriptive Case Studies of Nine Elementary School Media Centers in Three Inner Cities (OE-30021)

8. Emphasis on Excellence in School Media Programs (OE-20123)

9. How ESEA Title II Meets the Needs of Poor Children; A Special Report USOE, February, 1969

10. An Evaluative Survey Report on ESEA Title II Fiscal Years 1966-68. Part I - Analysis and Interpretation; Part II-Tables - DHEW, 1972.

11. Notable Reading Projects, 11 issues, March 1971 - Jan., March, 1973 HEW Publication No (OE 73-21101)

12. Eighth Annual Report, Fiscal Year 1973, ESEA Title II, DHEW.

ANNUAL EVALUATION REPORT ON
EDUCATION PROGRAMS

Program Name:

School Equipment and Minor Remodeling

Legislation:

National Defense Education Act, Title III

Expiration Date:

1977 1/

Funding History	Year	Authorization	Appropriation
	1965	$100,000,000	$73,400,000
	1966	110,000,000	82,700,000
	1967	110,000,000	82,700,000
	1968	120,000,000	78,740,000
	1969	120,000,000	78,740,000
	1970	130,500,000	37,179,000
	1971	140,500,000	50,000,000
	1972	140,500,000	50,000,000
	1973	140,500,000	50,000,000
	1974	140,500,000	28,500,000
	1975	130,500,000 2/	21,750,000
	1976 3/	140,500,000	13,628,794
	1977	140,500,000	-0-

Program Goals and Objectives:

The legislative purpose of the program was to support the improvement of instruction through the purchase of equipment and materials, minor remodeling, and through administrative services provided by State departments of education. The eligible academic subject areas covered were: the arts, civics, economics, English, geography, history, the humanities, industrial arts, mathematics, modern foreign languages, reading, and science.

1/ The Education Amendments of 1974 (P.L. 93-380, Title IV, Part B) authorized a consolidation of three categorical programs with advanced funding. Title IV became effective July 1, 1975. During the first year 50 percent of the program funds were administered categorically. The other half were combined with NDEA III, ESEA II, and the Guidance, Counseling, and Testing portion of ESEA III as Part B, "Libraries and Learning Resources" and were allocated at the discretion of the States.

2/ Ten million dollars of prior authorizations were designated for the direct loan program to private schools, which terminated June, 1975.

3/ Advanced funding approved July 1, therefore, no Transitional Quarter funds were appropriated.

Program Operations:

NDEA III provided each State a separate allotment for acquisitions and administration, both of which were matched on a 1-to-1 basis. Local Educational Agencies (LEA) submitted to State Education Agencies (SEA) proposed projects which were judged according to the criteria set forth in the approved State plan. For projects which were "funded," LEA's were reimbursed partially from NDEA funds. NDEA average reimbursement for the State as a whole was 50 percent but States were encouraged to reimburse individual local projects on a variable basis.

Program Scope:

In FY 1975, program data indicated the following:[5]

1.	Federal expenditures for program acquisitions for NDEA III (FY 75)	$21,750,000
2.	Number of LEA's participating (62% of the districts)	9,800
3.	Number of public school children in participating LEA's -- (84.3% of the students)	39,300,000
4.	Percent of expenditures going for equipment & materials (equipment)	80-85%
	(materials)	15-20%
5.	Expenditures for subject areas:	
	(a) English & reading	31.0%
	(b) science	25.1%
	(c) social studies (geography, history, civics, economics	15.1%
	(d) industrial arts	9.4%
	(e) arts & humanities	8.1%
	(f) mathematics	7.9%
	(g) modern foreign languages	3.4%
6.	Eight loans to private schools were made for a total of $145,850 in FY 75.	

Program Effectiveness and Progress

Program operational data indicated that since 1959 over $1 billion had been expended by the States to strengthen school instruction through the purchase of equipment, materials, and through minor remodeling of facilities. It is believed that the equipment acquisitions may increase under the ESEA Title IV consolidation.

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[5] FY 1976 data not yet available.

State departments of education conducted Statewide and individual project assessment whenever these were considered appropriate. Many States required that procedures for evaluation of projects be included in project applications.

Ongoing and Planned Evaluation Studies:

An evaluation study of ESEA Title IV B&C is planned for FY 1977.

Sources of Evaluation Data:

1. USOE, NDEA Title III, Fiscal Year 1959-67, Management View, May 1969.
2. "Strengthening instruction in Science, Mathematics, Foreign Languages, and the Humanities and Arts." A chapter appearing in the Federal-State Partnership for Education, U.S. Government Printing Office, Washington, May 1970.
3. USOE, Strengthening Instruction in Academic Subjects, Title III, Part A, National Defense Education Act as amended, Annual Report, Fiscal 1973, U.S. Government Printing Office, Washington, 1973.

Program Name:

Educational Innovation and Support

Legislation:

ESEA Title IV as amended by
Section 401, Part C of P.L. 93-380

Expiration Date:

September 30, 1978

Funding History:	Year	Authorization	Appropriation
	1976	$175,000,000[1]	$86,444,000[2]
	1977	Indefinite	184,522,000[3]

Program Goals and Objectives:

ESEA Title IV, Part C is a formula grant program under which four categorical programs were consolidated to provide State education agencies with more flexibility in the use of appropriated funds within the purposes formerly supported by the categorical programs. The four programs consolidated in the Innovation and Support grants program are:

(1) ESEA Title III, Supplementary Educational Centers and Services (except Guidance, Counseling, and Testing). This program is designed to provide supplementary educational centers and services in order to stimulate and assist in the provision of vitally needed educational services and in the development and establishment of exemplary elementary and secondary school programs to serve as models for regular school programs.

(2) ESEA Title V, Strengthening State and Local Educational Agencies. These programs are for strengthening the leadership resources of State and Local educational agencies.

(3) ESEA Title VIII Section 807, Dropout Prevention Projects. This program establishes demonstration dropout prevention projects in school districts in urban or rural areas which have a high percentage of children from low-income families and a high percentage of such children who do not complete their secondary school education.

(4) ESEA, Title VIII Section 808, Nutrition and Health. The purpose of this act is to provide for demonstration projects by local educational agencies or private educational organizations designed to improve nutrition and health services in areas with high concentrations of children from low-income families.

For the first year, FY 1976, each of the programs included in the consolidation were funded at half their FY 1975 level and the balance of the funding, $86,444,000, was available to the States to use at their discretion among the activities authorized, within restrictions setting a floor on the amount to be used for projects benefitting the handicapped and a ceiling on the amount to be used for strengthening State and local education agencies.

The remaining funds are to be used for purposes of section 431(a)(1), (2), (4) (Supplementary Centers and Innovation, Health and Nutrition, Dropout Prevention). Not less than 15% of the Part C allocation, less the funds to be used for strengthening The State educational agency, must be used for programs or projects for the education of children with specific learning disabilities and handicapped children. The rest of the funds are available to LEAs through the State agencies on a competitive basis in accordance with priorities established by the States.

Program Scope:

Program reports for the first year of the consolidation grants are not yet available. A review of the States' Annual Program Plans provides evidence of how Title IV-C is being implemented, however. Forty-six State Plans were reviewed and indicated the following pattern of expenditures:

Support Services

Strengthening State Education Agencies (including SEA Direct Services to LEAs)	$38,774,632 (24,863,418)
Strengthening Local Education Agencies	2,864,780
Support funds allocated by States to Innovative Programs	2,162,257
Total Support	$43,801,609

Innovation

Nutrition and Health *	$ 696,214
Dropout Prevention *	404,227
Handicapped	5,529,682
Dissemination-Diffusion	4,143,159
Other Innovative Grants	17,941,577
Administration	9,740,249
Total	$38,355,091

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* Amounts for a number of States were not available from State plans. Dollar amounts here are, therefore, low. * The administrative component for both Parts F and C includes the amount described plus 5 percent of the Part B allotment. If less than $225,000, then this becomes the ceiling.

Program Operations:

From the total amount available for Title IV, Part C for allotment in any fiscal year, the U.S. Commissioner of Education allots to each State an amount proportionate to the number of children aged 5-17 in the State, as compared with the total number of children in all of the States. The term "State" as used here refers to the several States in the Union, the District of Columbia and the Commonwealth of Puerto Rico.

Direct grants are awarded to the 50 states, the District of Columbia, American Samoa, Guam, Puerto Rico, the Virgin Islands, the Trust Territory of the Pacific Islands, and the Department of the Interior for children and teachers in elementary and secondary schools operated for Indian children by the Bureau of Indian Affairs. Under P.L. 93-380, children in the overseas dependents schools operated by the Department of Defense are eligible but the Department of Defense is not participating during program years 1976 and 1977.

Not more than 1% of the amount available under Title IV, Part C may be reserved for Guam, American Samoa, the Virgin Islands, and the Trust Territory of the Pacific Islands, for schools operated Indian children by the Department of the Interior, and for children in the overseas dependents schools operated by the Department of Defense.

State educational agencies, the Department of the Interior and other jurisdictions are required to submit an annual program plan which, when approved by the U.S. Commissioner of Education, serves as the agreement between the States or other jurisdictions or Departments, and the U.S.O.E.

The Part C allotment is subdivided into three major categories. There is first the set-aside for strengthening State and local education agency purposes which equals the larger of either (1) an amount not to exceed 15% of the total Part C allotment or (2) the amount available to that State for strengthening purposes in fiscal year 1973. After this strengthening portion is subtracted from the Part C allotment, an administrative component of 5 percent is provided. *

For the "Other Innovative Grants" category, the priority areas most often listed were communication skills, occupational or career education,, basic skills, and citzenship. Six States indicated that priorities would be determined exclusively at the local level.

Program Effectiveness and Progress:

Fiscal year 1976 is the first year of the consolidated grants, and in the first year one-half the funds were consolidated. First year reports are not yet in, but State Plans were developed and approved, State Advisory Councils were appointed, and the consolidated grant process installed in the State agencies. From program monitoring reports, it appears that the introduction of the consolidation was accomplished without major difficulty, but not without problems, associated with the dual administration of appropriated funds as 50 percent categorical and 50 percent consolidated.

Ongoing and Planned Evaluation Studies:

A study planned for FY 1977 will examine the implementation and management of the program.

Sources of Evaluation Data:

State Program Plans, FY 1976.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Strengthening State and Local Education Agencies

Legislation:	**Expiration Date:**
ESEA Title V, as amended by Section 401 of P.L. 93-380	June 30, 1978

Funding History:

Year	Authorization	Appropriation
1966	25,000,000	17,000,000
1967	30,000,000	22,000,000
1968	65,000,000	29,750,000
1969	80,000,000	29,750,000
1970	90,000,000	29,750,000
1971	110,000,000	29,750,000
1972	140,000,000	33,000,000
1973	150,000,000	53,000,000
1974	150,000,000	39,425,000
1975	150,000,000	39,425,000
1976	*	19,712,500

Program Goals and Objectives

The purpose of ESEA Title V is to provide assistance for strengthening the leadership resources of State and local educational agencies and their capabilities in comprehensive planning and evaluation. Three grant programs are authorized:

1. Part A, authorizes the Commissioner to make grants to stimulate and assist States in strengthening the leadership resources of their education agencies and to assist these agencies in establishing and improving programs to identify and meet their educational needs. The statute provides an illustrative list of kinds of activities that can be supported. This list includes planning and evaluation, consultative services and technical assistance to LEAs, research and demonstration, dissemination, education data systems and inservice training, among other kinds of activities. Thus, the legislative purpose is broadly defined, with determination of specific objectives left to the States.

*No funds authorized: consolidated by Title IV Part C, P.L. 93-380, into Educational Innovation and Support Grants. In FY 1976 fifty percent of funds were administered in categorical programs and the remainder were distributed to States to be used under Title IV within the purposes of ESEA Title III, V, and Section 807 and 808 at their discretion, with a maximum of 15 percent or the amount received in FY 1973 that can be used by the States for Title V purposes. In FY 1977 all of the funds will be distributed for Educational Innovatior and Support, with a maximum of 15 percent or the FY1973 amount available for the Title V purposes.

2. Part B authorizes grants, beginning in FY 1970, to local education agencies to assist in strengthening their leadership resources and in establishing and improving programs to identify and meet the educational needs of their districts.

3. Part C authorizes grants, beginning in FY 1971, to State and local education agencies to assist them in improving their planning and evaluation capabilities toward the end of promoting progress in achievement of opportunities for high-quality education for all segments of the population.

Program Operations

Ninety-five percent of the Title V, Part A, appropriation is available to State educational agencies as basic formula grants.* Of this amount, one percent is set aside for distribution to the outlying areas on the basis of need as determined by the Commissioner of Education. The remainder is distributed to the States, the District of Columbia and Puerto Rico by a formula which divides 40 percent of the amount equally and 60 percent on the basis of the number of public school pupils in each State. The grants are made to each SEA on the basis of project applications. OE approval of these State Applications is required, following a determination that they conform to the purposes of Title V. The remaining five percent of the appropriation is reserved for special project grants (competitive) to State education agencies to enable groups of these agencies to develop their leadership capabilities through experimental projects and to solve high priority problems common to all or several of the States.

The States have continued their activities to improve their leadership resources and services to local education agencies. The States have also strengthened their management capacities through training of management teams and installation of new management processes.

Part B has never been funded. Since Part B purposes are included in the Title IV consolidation provisions, they can be funded now at the discretion of the States.

Planning and evaluation activities authorized in Part C were initially funded under authority of Section 411, General Education Provisions Act, with flat grants to each State Education agency to assist in developing and strengthening their planning and evaluation capabilities. Beginning in FY 1973, this activity was funded under authority of Title V, Part C, extending eligibility for grants to local education agencies. After a one percent set-aside for outlying areas, available funds are distributed by a formula which divides 40 percent of the amount equally to each State and 60 percent on the basis of total population of the State. Grants are made to State and local education agencies on the basis of applications. Local applications must be submitted through the State education agency for review and recommendations. Federal funds may not exceed 75 percent of the cost of activities covered in an application. Applications must include a statement of educational needs of the State or local area to be served and describe the program for meeting those needs.

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* Beginning in FY 1970. Prior to 1970, eighty-five percent of the appropriation was distributed to the States as basic formula grants.

The strategy of the states has shifted from earlier emphasis on development of planning and evaluation units in the State Education Agencies to the development of planning and evaluation capabilities at the local level.

Program Scope

The education agencies of the states and outlying areas have used their formula grant funds under Part A to strengthen their services to local education agencies, such as identification and dissemination of successful practices, planning and installing up-to-date curricula in the schools, and improving planning and evaluation strategies and administration. Three-fourths of the grant funds were used for salaries to provide manpower for State agency operations with major emphasis on (1) development and extension of comprehensive planning and evaluation at both State and local levels; (2) establishment and extension of regional centers to provide local educational agencies with a greater variety of instructional equipment, materials, and services and with technical assistance for the improvement of management; and (3) introduction of new areas of leadership and service, such as state-wide labor negotiations, school finance planning, and development of curriculums in new areas.

The five percent set-aside from Part A funds for special projects funded 18 projects in FY 1976, including continuation of projects to effect an orderly transition to the partial implementation of consolidation as provided in Title IV, Part C of ESEA. Eight regional interstate projects were continued, implementing programs dealing with regional problems, such as staff development programs for State agency staffs in the New England States, development of community leadership and services in the Rocky Mountain States, and the development of procedures and materials for use of LEAs in training staff for education evaluation.

Part C funds were used to continue activities to strengthen planning and evaluation capabilities, with particular attention to development of such capabilities at the local level. Special efforts were directed toward development of coordinated State and local planning and evaluation systems. Thirty-six states supported training programs for planning and evaluation staff and ten states supported development of planning and evaluation models at the local level.

Program Effectiveness and Progress

The Title V objective to strengthen State Departments of Education poses problems in terms of measuring effectiveness of the program. The legislalation suggests, but does not mandate, ways in which the States might use the funds to strengthen their education agencies.

One study evaluated the program in terms of its impact on basic institutional change in the SEAs (Murphy, 1973). In-depth case studies in three states, and a less intensive review of developments in six others, formed the basis for the study. This study found significant variations in the impact of Title V on strengthening SEAs from State to State, but the program helped fill gaps in services and management and enabled states to give more attention to some kinds of activities than they could have on their own. Expansion took place largely in traditional areas rather than in developing new roles and activities. The author concluded that this finding was more likely due to the way complex organizations behave than to any particular administrative shortcomings at the Federal or State levels. While this study makes a contribution to the theory of the institutional change process in bureaucracies, the small number of State agencies studied and the primary focus upon "institutional reform" does somewhat limit conclusions which can be drawn from the study.

A study published by the Office of Education in 1973, State Departments of Education and Federal Programs, reviewed changes in State Departments of Education in recent years and, while finding wide variations in the quantity and quality of leadership services, reported emerging trends toward long-range planning, needs assessment, and establishment of priorities; improved coordination with related agencies at Federal, State, and local levels and with outside groups; development of new approaches to research and development; improved evaluation capabilities; and more emphasis on providing leadership and technical assistance to local education agencies. The study also reported significant change in the kinds and numbers of personnel in the State agencies.

Ongoing and Planned Evaluation Studies:

This program will be phased out at the end of FY 1976, but its purposes are incorporated into the Educational Innovation and Support grants under Title IV, Part C of P.L. 93-380. A study is being planned to review the implementation of the consolidation process, and the scope of the study will include a review of State activities in strengthening State and local education agencies as well as other purposes authorized in the consolidation provisions.

Source of Evaluation Data:

1. Murphy, Jerome T. Grease the Squeaky Wheel: A Report on the Implementation of Title V of the Elementary and Secondary Education Act of 1965, Grants to Strengthen State Department of Education. Center for Educational Policy Research, Harvard Graduate School of Education, 1973.
2. Advisory Council on State Departments of Education. Annual Reports, 1966-1970.
3. U.S. Department of Health, Education, and Welfare, Office of Education State Departments of Education and Federal Programs, 1972.
4. ____________________. State Departments of Education, State Boards of Education, and Chief State School Officers, Publication No. (OE) 73-07400, 1973.
5. Annual State Reports, ESEA V.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Bilingual Education

Legislation:

Bilingual Education Act
Title VII, ESEA

Expiration Date:

September 30, 1978

Funding History:	Year	Authorization:	Appropriation:
	FY 68	$ 15,000,000	0
	FY 69	30,000,000	7,500,000
	FY 70	40,000,000	21,250,000
	FY 71	80,000,000	25,000,000
	FY 72	100,000,000	35,000,000
	FY 73	135,000,000	45,000,000 1/
	FY 74	135,000,000 2/	58,350,000 3/
	FY 75	135,000,000 2/	85,000,000 4/
	FY 76	140,000,000 2/	98,970,000 4/
	FY 77	150,000,000	115,000,000

Program Goals and Objectives:

The Bilingual Edudation Program, as legislated in Public Law 90-247 of January 2, 1968, was a discretionary grant program whose primary purpose was to provide financial assistance to local educational agencies to develop and carry out "new and imaginative elementary and secondary school programs designed to meet the special educational needs of children of limited English-speaking ability who came from low income families."

Other authorized activity included research projects, the development and dissemination of special instructional materials, the acquisition of necessary teaching materials and the provision of pre-service training for funded classroom projects.

Public Law 93-380 of August 21, 1974, in its extensive revision of Bilingual Education Act (Title VII of the Elementary and Secondary Education Act) expanded the program's purpose and scope, and the definition of those children who are expected to benefit from the program.

1/Of this amount $9,870,000 was released and made available for obligation FY 74.

2/Plus sums authorized for the provisions of Section 721(b)(3) of P.L. 93-380.

3/Amount shown is after Congressionally authorized reductions.

4/Includes funds earmarked by the Congress to carry out the provisions of Part J of the Vocational Education Act. An amount of $2,800,000 was appropriated for this purpose each year.

In order to establish equal educational opportunity for all children, the new law encourages the establishment and operation of bilingual educational programs at the preschool, elementary, and secondary levels for children of limited English-speaking ability. For that purpose, the law provides for financial assistance to local and state educational agencies to develop programs designed to meet the educational needs of such children and to demonstrate effective ways of providing them instruction, while using their native language, to achieve competence in the English language.

Program objectives appear to be three-fold in P.L. 93-380.

(1) The legislation presents a policy of encouraging the establishment and operation of programs using bilingual education practices, techniques and methods. To that end, financial assistance will be provided to enable local educational agencies "to develop and carry out such programs in elementary and secondary schools, including activities at the preschool level, which are designed to meet the education needs of such children; and to demonstrate effective ways of providing for children of limited English-speaking ability instruction designed to enable them, while using their native language, to achieve competence in the English language."

(2) The legislation obliges the Commissioner of Education to "... establish, publish, and distribute, with respect to programs of bilingual education, suggested models with respect to pupil-teacher ratios, teacher qualifications, and other factors affecting the quality of instruction offered in such programs."

(3) Part A of the legislation focuses in part on training programs for personnel who are preparing to participate or are already participating in bilingual education programs. This training component is in addition to the "auxiliary and supplementary" training activities which must be part of each bilingual-education program funded by Title VII.

The thrust of the legislation is reinforced by the Rules and Regulations for the Title VII Program, as published in the Federal Register on June 11, 1976. Section 123.12 ("Authorized Activities") refers to (a) "Establishing, operating, and improving programs of bilingual education," (b) "Providing auxiliary and supplementary community and educational activities designed to facilitate and expand the implementation of (programs of bilingual education)," (c) "Providing auxiliary and supplementary training programs for personnel preparing to participate in, or personnel participating in, (programs of bilingual education)," and (d) "Planning, and providing technical assistance for, and taking other steps leading to the development of (programs of bilingual education)." The Regulations later refer in detail to "training resource centers," "materials development centers," "dissemination/assessment centers," and "fellowships for preparation of teacher trainers."

The legislative emphasis and the new Rules and Regulations reflect in part the experience of the program's operation since 1969 and the results of formal evaluations conducted at the national level by OE and at the local level by the Title VII projects. Those findings have consistently pointed to two areas where there are critical shortages of the resources needed to implement effective programs. One shortage pertains to adequately trained teachers for bilingual education; the other shortage refers to appropriate curricular materials for those programs. The Department's response has been defined as the "capacity-building" strategy, which is directed at using significant amounts of Title VII program resources (1) to encourage the training of teachers for bilingual education projects and of training the teachers of those teachers, and (2) to promote the materials-development, assessment and dissemination aspects of the national program. Implementation of the capacity-building strategy through Fiscal Year 1976 grants is further detailed in the Program Scope section below, but it is worth noting at this point that 38 grants for teacher-training projects were made in Fiscal Year 1976 to institutions of higher education. Furthermore, 32 grants to centers under the capacity-building strategy were made in Fiscal Year 1976 including awards for Resource Centers, Materials-Development Centers, Assessment Centers and Dissemination Centers. Although this effort must also be viewed in relation to increased funding levels for the Title VII program, it represents a far greater effort than in years past, in terms of the number and dollar amounts of grants, to address the urgent operational needs of bilingual education projects through the national bilingual program.

Program Operations

The Title VII program operates on the basis of the Bilingual Education Act under Public Law 93-380 (Education Amendments of 1974), and of Rules and Regulations which are published in The Federal Register. The Rules and Regulations provide detail on program purpose and procedures, describe categories of activities for which grants are to be made during that fiscal year, and present the criteria and related point totals to be used in judging proposals for grants. Grants may be made at any time during the fiscal year after publication of the Rules and Regulations, but are usually made near the end of the fiscal year. The program is forward-funded, which means that funds appropriated and obligated in a given fiscal year may be used by grant recipients during the school year immediately following.

The Lau vs. Nichols decision has given increased visibility to, and public awareness of, bilingual education, thus increasing the program staff's activities in providing information on recommended practices. Increased State involvement in bilingual evaluation has had a similar effect in terms of requests for information and other technical assistance.

The Commissioner is authorized to make payments to the Secretary of the Interior for bilingual education projects to serve children on reservations, which have elementary and secondary schools for Indian children operated or funded by the Department of the Interior.

Part A of Public Law 93-380 authorizes grants for (1) establishment operation and improvement of bilingual education programs; (2) auxiliary and supplementary community and educational activities, including adult-education and preschool programs; (3) training programs for personnel preparing to participate in, or already participating in, bilingual education programs, and auxiliary and supplementary training programs which must be included in each bilingual education program for personnel preparing to participate in, or already participating in, bilingual education programs; and (4) planning, technical assistance, and "other steps" towards development of such programs.

Grants under Part A may be made to State and local educational agencies or to institutions of higher education. Until Fiscal Year 1976, institutions of higher education had to apply for grants jointly with one or more local education agencies, but this is no longer true for grants for training activities. Part A thus authorizes grants for training to institutions of higher education (including junior colleges and community colleges), to local educational agencies, and to State educational agencies. Part A also provided further detail on mandated and authorized training activities for current or prospective teachers of bilingual education or for the persons who will themselves teach and counsel such persons.

Program Scope

The Fiscal Year 1976 appropriation for ESEA, Title VII was $96 million.[5] In addition to support for regular Title VII program operations, this amount included $100,000 for initial planning of the bilingual education clearinghouse and $100,000 for the operation of the National Advisory Council on Bilingual Education.

Since this program is forward funded, FY 1976 funds primarily support activities occurring during school year 1976-77.

From the amount available, $69 million[6] was obligated for 425 grants to LEA's for the operation of classroom demonstration projects and staff inservice training at the elementary and secondary school levels. Of these grants; 76 were new and 249 had funding under this title in the previous year. It should be noted here that the FY 1975 Interim Regulations introduced the concept of a "project-period" under which award recipients are assured of continued funding depending upon the availability of funds for a given number of years--i.e., the project period. During successive years of the project period, recipients will not have to compete for funds against new applicants, although continued funding will depend upon satisfactory performance during the preceding year. It is understood that at the end of the project period, a grant recipient will have achieved the stated purposes of its application. The project period for grant recipients in FY 1976 ranged from one to five years.

The 425 classroom projects funded have enrolled an estimated 190,000 children. There are 44 languages served in these demonstrations, including 10 Indo European, 17 Asian and Pacific, and 17 Native American languages.

Training activities totalled $28.5 million[7] of which inservice training through classroom projects accounted for $10.2 million benefitting approximately 30,000 teachers. Thirty-eight institutions participated in fellowship programs to 708 recipients at an average cost of $5,650 per student for a total of $4 million while fifteen teacher training resource centers were funded at a cost of $5 million benefitting an estimated 9,500 trainees. Other professional development included 100 institutions of higher education which received $3.275 million for an estimated 750 recipients of stipends and $6 million for institutional innovation and reform.

Finally, fourteen materials development centers and three dissemination and assessment centers were funded for $5.425 million and $1.575 million respectively. These centers meet the need for developing and disseminating bilingual curriculum materials, assessment of quality and appropriateness for the language and ethnic

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5/ This figure includes $1,200,000 appropriated in the FY 1976 Second Supplemental for State Education Agencies under Section 721 (b)(3).

6/ These figures assume Congressional concurrence with a proposed reprogramming sent to Congress on August 4, 1976. The reprogramming proposes to transfer $3,136,000 from Classroom projects to Training Activities (including inservice training) and Material Development.

groups served by the Title VII program. Both of these needs have been identified through evaluation studies described below and have been recognized in the legislative mandate of P.L. 93-380, in budget requests for Title VII and in the recent appropriation measures passed by the Congress.

The Education Amendments of 1974 (P.L. 93-380) included a provision for bilingual vocational training in the addition of a new Part J to the Vocational Education Act. No funds were requested in FY 1975 for this activity, but the appropriation for ESEA, Title VII included $2,800,000 for Part J. During FY 1976, funds for bilingual vocational training were included under the Vocational Education Act, Part J. In FY 1977 this authority expires. In FY 1978 funds for this activity are requested under appropriation for Occupational, Vocational and Adult Education, dependent upon yet to be enacted authorizing legislation.

In 1975-76, 98 programs were identified in 21 states with an average enrollment of about 13,000 at any given time. Vocational offerings included about 370 courses in seven major occupational categories: agriculture, distributive, health, office occupations, home economics and child care, technical occupations, and trade and industrial.

7/ Section 702(a)(3)(A) requires that an amount of $16 million shall be reserved for training from sums appropriated up to $70 million; in addition, from sums appropriated in excess of $70 million, one-third shall be reserved for such activities.

Program Effectiveness and Progress.

The objectives which have been established for the Title VII program in the legislation, in regulations, create the framework for evaluation of program effectiveness. It is thus appropriate to evaluate the program in terms of the development and dissemination of models of effective bilingual education practice, in terms of the training of personnel and development of high-quality curricular materials for bilingual education projects, and in terms of the program's impact on participating children.

The development and dissemination of bilingual education models is a recently initiated activity and it is too early to judge its effectiveness. Four models have been identified and packaged for replication by school districts. A field test of the packages is being planned. Several studies have indicated shortages of bilingual materials. An on-going study in assessing the extent of progress in the development of materials. For most languages, there is known to be a shortage of properly trained bilingual education personnel. In the past few years, substantial Title VII monies have been used for training, but the extent to which the teacher shortage has been alleviated is not known. With respect to the impact of the Title VII program on children, an on-going evaluation will provide the first assessment of the program in terms of student's attitudes and achievement.

Development and Dissemination of Models. In order to develop models of effective bilingual projects for the use of project planners and managers, the Office of Education first developed success criteria in accordance with the objectives of the Title VII program. Minimal project characteristics required for consideration included instruction in English-language skills for children limited in those skills, instruction in the customs and cultural history of the child's home culture, and instruction in the child's home language to the extent necessary to allow him to progress effectively through school. Furthermore, project participants had to show statistically and educationally significant gains in English-language skills, as well as in subjects taught in the home language. The project had to have clearly definable and describable instructional management components. Finally, start-up and continuation costs had to be within reasonable limits.

In June 1975, the USOE Dissemination Review Panel approved four projects as appropriate for national dissemination. The four projects are as follows:

1. Bilingual Education Program
   Alice Independent School District
   Alice, Texas

   Spanish--In 1973-74, the project served
   528 children in grades K-4 in four schools.

2. Aprendemos en Dos Idiomas
   Title VII Bilingual Project
   Corpus Christi Independent School District
   Corpus Christi, Texas

   Spanish--In 1973-74, the project served
   519 children in grades K-3 in three schools.

3. Bilingual Education Program
Houston Independent School District
Houston, Texas

Spanish--In 1973-74, the project served 1,550 children in grades K-12 in 8 elementary schools, one junior high, and one high school. (Validation of the program was for grades K-4 only.)

4. St. John Valley Bilingual Education Program
Maine School Administrative District #33
Madawaska, Maine

French--In 1973-74, the project served 768 children in grades K-4 among the three school districts that cooperate in the project.

Detailed descriptions of the four projects were distributed through the Title VII Resource Centers, in order to provide educators with a model and with ideas for implementing similar practices in bilingual education. The project descriptions, which include information on the context in which the projects developed and have operated, and the educational needs of the district's children which the projects have helped to meet, will be a source of ideas for project planners, teachers, administrators, school boards and PTA's. Finally, they were the starting point for the development of Project Information Packages (PIPs) for each of the four projects, in order to provide educators with complete information and guidance towards rapid development of nearly identical projects in school districts elsewhere. The PIPs were produced as part of OE's "Packaging and Dissemination" Program, which operates under the authority of the Special Projects Act in Title IV of Public Law 93-380 (Education Amendments of 1974). The four bilingual Project Information Packages are being disseminated to school districts with a need for a bilingual project through the Title VII Training Resource Centers. Districts that apply for a PIP and receive a Title VII grant to implement a project in the 1977-78 school year will become participants in a field test evaluation of the effort which will be initiated in the spring of 1977.

Development of Bilingual Materials. The Exploratory study of Title VII projects involving Native American, Indo-European, Asian and Pacific language groups (American Institutes for Research, Incorporated, 1975) involved site visits to a total of 10 projects distributed among those language groups. All 10 projects had reviewed at least some materials produced by other bilingual projects, and most projects indicated some benefit to them from materials produced elsewhere. The benefits noted included ideas for developing their own materials, basic materials that could be modified for use in their own projects, or supplementary materials that could be used in the classroom.

The Exploratory study found, however, that the "special projects" funded under Title VII through Fiscal Year 1974 with a "capacity-building" mission to develop curricular materials or to assess and disseminate them, and to provide technical services to school projects, had not generally played an important role in materials development or acquisition at the sites that were visited. Project staff reported that the unique dialects or other linguistic variations, cultural considerations, and curriculum needs of their sites required that materials development be an individual project effort. This attitude towards curriculum development seemed to be shared among most Native American, Asian and Pacific, and Indo-European language groups, judging at least from the study's small sample. Because of the acute lack of instructional materials appropriate to the local language and culture, project staffs spend large amounts of time developing materials--a task for which few have adequate training.

Similar findings have been found in a current study of Federally funded "Change-agent" programs, implemented under contract to the Rand Corporation of Santa Monica, California.

There is an obvious contradiction between the expressed need for assistance in materials development and the inter-project and within-district sharing of materials and techniques found by the Exploratory and Change-agent studies, on the one hand, and the attitude that most of the effort in curriculum and materials must be done locally to ensure appropriate content, on the other hand. Reconciliation seems to lie in the fact that the sharing of materials produced by other projects appears to have, as its prime benefit, the spreading of new ideas, concepts and techniques rather than the specific materials themselves. The implication of this finding for the newly funded materials-development, resource, assessment and dissemination centers for these language groups is that, because of variations in language and dialects, there should be, at least for languages other than Spanish, greater emphasis on the exchange of ideas and techniques in materials development rather than on specific materials which have been developed. This involves concepts of curriculum content, procedures to use in materials development, resources available to material developers, and (possibly) training specific to materials development. Under this approach, the dissemination centers would periodically provide projects in languages other than Spanish with information about new materials, new techniques, and new resources which have been developed by other projects or have been made commerically available. In addition, center staffs would help to train project staff in materials development, and could provide technical assistance in such areas as editing, printing, design, and graphic reproduction.

Personnel Training. With regard to staffing problems in bilingual education projects, the Exploratory and Change-agent studies confirmed the lack of appropriate teaching skills in the early phases of project development. Although all projects of the Exploratory Study felt that it would be helpful for bilingual teachers to be certified, most projects noted that certified teachers were not prepared at most institutions of higher learning for bilingual education, and have to be trained specifically for it after the bilingual project has hired them. Furthermore, State mandates for bilingual education, which often lead to short-term projects with the "transitional" model of instruction, were seen as possibly having a negative effect on bilingual projects funded under Title VII. Competition for qualified staff could lead to "pirating" of the Federally-funded program in order to satisfy the staffing needs of the State-mandated program. The rapid expansion in the number of bilingual education projects under Title VII and other programs points up the urgent need for an expanding supply of adequately trained staff. Indeed, the plea for expanded training programs for persons interested in working in bilingual education was a common response of persons interviewed in the field.

In general, it appears that Title VII has had some success as a demonstration and capacity-building program to the extent that interest has been generated, some instructional materials and techniques have been shared, some personnel have been trained and qualified for projects, models are being replicated on an informal basis, and preparations are well underway for the formal, total replication of models (PIPs) based on projects known to be effective in meeting children's educational needs. The new capacity-building emphasis in program policy and grants offer considerable promise of increasing the supply of trained personnel and of increasing the amount and availability of instructional materials and curricular programs.

In addition, by its very presence, the Title VII program has provided visibility to the educational problems of a particular group of children who previously had been virtually ignored. Since Fiscal Year 1969, the first year that bilingual projects were funded with Title VII monies, a growing interest in bilingual/bicultural education has developed. Because of heightened awareness and interest in bilingual/bicultural education, the special needs of children whose dominant language is not English are increasingly being addressed by new legislation, programs, and support. For example, 25 states have legislation which specifically permit or mandate bilingual education, 15 states are silent and presumably permit bilingual education, while of the 8 states which prohibit bilingual education, at least 4 chose not to enforce this prohibition. It is impossible to know to what extent the Federal program is directly responsible for these changes in the educational system, but Title VII may well be a prominent factor.

Program Impact on Children. While being evaluated as a demonstration and capacity-building program, Title VII should also be evaluated on its effectiveness in producing positive changes in children in the cognitive, affective and behavioral areas. At the moment, pending the results of OE's Impact Study of Spanish bilingual projects which are due in January 1977, the only current source of data concerning the program's impact on children continues to be the annual individual project evaluation reports. The limitations in the data or methodologies prevent those reports from being used to draw conclusions about overall program effectiveness.

A "process" evaluation of the Title VII program was contracted to Development Associates, Incorporated, of Washington, D.C., in 1973, for Spanish-speaking children in the elementary grades. While it did not collect outcome data on children, the evaluation did provide some useful impressions of effectiveness. This evaluation found that the Title VII program did appear to have produced enthusiasm and commitment among personnel involved and to have fostered institutional change in recognition of the needs of non-English-speaking children. Most administrators felt that their districts would continue to support bilingual/bicultural education, at least partially, even after Federal funding had ended.

Ongoing and Planned Evaluation Studies

Evaluation of the ESEA Title VII Bilingual Education Program

The section above on Program Effectiveness and Progress has already referred to the on-going Impact Study of Spanish/English bilingual projects in their fourth or fifth year of Title VII support. The goals of the Impact Study are (a) to determine the impact of bilingual education on levels of student achievement in the cognitive and affective domains, (b) to describe the input and process variables operating in these projects, (c) to identify those process variables associated with more effective programs, (d) to determine the costs associated with various educational treatments, and (e) to determine, to the extent possible, the effect of racial and ethnic composition of the classroom on student achievement. Data collection has been completed for Fall 1975 and Spring 1976; an additional data collection point is scheduled for Fall 1976. An interim report is due in January 1977 and the Final Report is due in November 1977.

The Study of Federal Programs Supporting Educational Change

The section on Program Effectiveness and Progress also referred to the ongoing "Change agent" study, which includes the Title VII program as an area of interest. This evaluation was designed in 1973 as a several-year study of Federally-funded programs which are intended to introduce and spread innovative practices in public schools. Further sites visits to bilingual education projects are taking place during the 1975-76 school year and the final report will be available in the winter of 1977.

A Study of State Programs in Bilingual Education

In 1975, in further response to the reporting requirements of Public Law 193-380 regarding the condition of bilingual education in the Nation, OPBE designed a study of State programs in bilingual education for which there is a legislative mandate or State funding, or other commitment of State resources, or some combination of these. This study is being implemented under contract to Development Associates, Incorporated of Washington, D.C. One perspective of the study is the effect on State activities of the Federal bilingual education programs operating within that State. Those programs include Section 708 (c) of the Emergency School Aid Act, Section 306 (a)(11) of the Adult Education Act, and Section 6 (b)(4) of the Library Services and Construction Act, 8/ ESEA Titles I, III and IV (Indian Education Act). The final report is due at OE in March 1977.

8/ These three programs are listed in Section 742 of P.L. 93-380 as the "other programs for persons of limited English-speaking ability" which are to be included in the Commissioner's Report. Activities under Section 122 (a)(4)(c) and Part J of the Vocational Education Act of 1963, also listed in this section, will be reported in the study listed below.

A Study of Bilingual Education Material Development

The purpose of the project is to determine the status of the development of curriculum materials for children of limited English-speaking ability and to analyze the process by which these materials are introduced into the classroom. The study will include curriculum materials for grades pre-K to 12, in 12 language groups--Spanish, French, Portuguese, Italian, Japanese, Vietnamese, Korean, Filipino, Native American (including Eskimo), Greek, and Haitian French.

An Assessment of Bilingual Vocational Training

In accordance with the reporting requirements of Public Law 93-380's Part J (Section 192), OE in the spring of 1975 designed an Exploratory study on the status of bilingual vocational training in all 50 States. The study is being implemented under contract to Kirschner Associates, Incorporated of Albuquerque, New Mexico. A report on the study objectives is scheduled for completion by the Spring of 1976. A feasibility and design study for further research should be completed by the summer of 1976.

Sources of Evaluation Data:

1. Development Associates, Incorporated, A Process Evaluation of the Bilingual Education Program, Title VII, Elementary and Secondary Education Act, Washington, D.C., December 1973.

2. American Institutes for Research, Incorporated, Study of Bilingual-Bicultural Projects Involving Native American, Indo-European, Asian and Pacific Language Groups, Palo Alto, California, September 1975.

3. American Institutes for Research, Incorporated, The Identification and Description of Exemplary Bilingual Education Programs, Palo Alto, California, August 1975.

4. The Rand Corporation, Federal Programs Supporting Educational Change, Volume III: The Process of Change, Appendix C. Innovations in Bilingual Education, Santa Monica, California, April 1975.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Health and Nutrition

Legislation:

Title VIII of the Elementary and Secondary Education Act of 1965, as amended by Section **808**, P.L. 93-380.

Expiration Date:

September 30, 1978

Funding History:

Year	Authorization	Appropriation
1971	$10,000,000	$2,000,000
1972	16,000,000	2,000,000
1973	26,000,000	2,000,000
1974	26,000,000	2,000,000
1975	26,000,000	900,000
1976	*	950,000

Program Goals and Objectives:

The purpose of the program is to demonstrate ways through which the gap between needs and delivery of nutrition/health services for low-income children can be narrowed by coordinating, focusing, and utilizing existing health, health-related and educational resources at the local level, especially Federally funded programs. Federal programs involved in these collaborative activities include HEW Children and Youth Projects, HEW Comprehensive Health Centers, NIMH Community Mental Health Centers,

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[*] Consolidated by Title IV, Part C, P.L. 93-380 into Educational Innovation and Support Grants In FY 1976 fifty percent of appropriated funds were administered in categorical programs and the remainder was distributed to States to be used under Title IV within the purposes of ESEA Title III, V, and Sections 807 and 808 at their discretion.

Model Cities Health Components, and The Indian Health Service. The projects are designed to demonstrate, under school leadership, a variety of ways through which the gaps between needs and delivery of health and nutrition programs and services can be narrowed by coordinating, focusing and utilizing existing health, health-related and education resources at the local level.

Program Operations:

Demonstration project grants are designed to provide include health and nutrition education, diagnosis and remediation of learning problems, community outreach and participation, involvement of families with children in the program, para-professional training, improvement of the learning environment and in-service education of school and project staff, as well as comprehensive ambulatory care, mental health services, and school breakfast and lunch.

The health care component is provided through cooperative agreements with one or more major federally assisted health programs existing in a given locality which have responsibility for the same children.

Program Scope:

In FY 1971, the first eight demonstration projects were funded, reaching 10,600 children in 26 schools. In FY 1972, these projects were continued and four new ones were added, bringing the number of children served up to more than 15,000 in 45 schools. In FY 1973, all 12 projects were continued for another year. In FY 1974, five new grant awards were made for demonstration projects for two years of operational support. In FY 1975 and 1976, three new projects were funded each year for a two year period. The total demonstration effort will have reached more than 32,000 children in 92 schools throughout the nation by its conclusion.

Program Effectiveness and Progress:

Evaluation data on this program are not available, but project reports and site visits, including meetings with school personnel and community members, indicate that at project sites children are getting more individualized attention and instruction. Most are better nourished and are securing continuous dental and medical care.

Ongoing and PLanned Evaluation Studies:

Provisions for an individual evaluations are included in each project, and plans are being made by the project staffs for the collection of appropriate data. Evaluations will not be available until the projects are completed.

Sources of Evaluation Data:

Interim and annual progress reports from projects.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Dropout Prevention

Legislation:	**Expiration Date:**
Title VIII ESEA, Section 807 as amended by Section 107, P.L. 93-380	September 30, 1978

Funding History:	Year	Authorization	Appropriation
	1969	$30,000,000	$ 5,000,000
	1970	30,000,000	5,000,000
	1971	30,000,000	10,000,000
	1972	31,500,000	10,000,000
	1973	33,000,000	10,000,000
	1974	33,000,000	4,000,000
	1975	33,000,000	0
	1976	*	2,000,000**

Program Goals and Objectives:

The 1967 amendments to the Elementary and Secondary Education Act of 1965 established Title VIII, Section 807, to develop and demonstrate educational practices which show promise in reducing the number of children who fail to complete their elementary and secondary education. Funds are granted to local educational agencies to carry out, in schools with high dropout rates among students from low-income families, innovative demonstration projects aimed at reducing the dropout rate.

Title IV of the Elementary and Secondary Education Act of 1965, as amended by the Education Amendments of 1974, consolidates the dropout prevention program authorized by Section 807 of ESEA with a number of other Federal elementary and secondary school programs into an Educational Innovation and Support grant program. Dropout Prevention projects may, at the discretion of the States, be supported in the future through the State-administered consolidated grant program.

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* Consolidated under Title IV Part C by P.L. 93-380. No funds are authorized for Section 807 in any year in which funds are provided for by Title IV, Part C.

**Under P. L. 93-380, in the first year in which appropriations were made for Title IV, Part C, 50 percent of the funds were available to the States to carry out programs pursuant to the titles included in the consolidation. The remaining 50 percent of the funds is therefore included in the report on Educational Innovation and Support.

Program Operations:

Project grants were made by the Office of Education directly to local school districts to support development and demonstration of model programs for reducing the number of students who leave school before high school graduation. Schools in which projects are located have high dropout rates and large numbers of disadvantaged students. Projects were funded for a 5-year period, with expectation that successful projects would be continued with local support and be replicated by other school districts which have high dropout rates.

The program was in the process of being phased out, and received no appropriation in FY 1975. The Education Amendments of 1974 incorporated the program into the Educational Innovation and Support program, and funds were appropriated for FY 1976 at FY 1974 level to meet the triggering requirements for the new program. The consolidation provisions of the new program permit States, at their discretion, to initiate additional activities.

Program Scope:

Nineteen multi-year projects were funded through FY 1974 and 12 new projects were funded from FY 1976 funds. An estimated 60 thousand students participated in the program at its peak. Projects included multi-component approaches which included attempts to raise achievement levels in reading and mathematics, work-study programs involving private industry and other agencies, staff training, improved pupil personnel services, community involvement, and special classes for students considered to be most dropout-prone.

Program Effectiveness and Progress:

Information from individual project evaluation reports and audits indicates that projects were well-focused on the target population and that most projects were effective in reducing the dropout rate. The Dayton, Ohio project, for example, reported that during the year prior to initial funding of the project, the dropout rate was 18.1 percent. This was reduced in the target school to 7.7 percent and to 2.7 percent for the students in the dropout program. The project combined a reading program and an automotive professional training program for about 200 students in a middle school and a high school in the predominantly black-inhabited Model Cities area of Dayton. This project (Project EMERGE) has been validated as effective by the Office of Education.

Other project evaluations showed similar results, attributed to multi-component approaches which included attempts to raise achievement levels in reading and mathematics, work-study programs involving private industry and other agencies, staff training, improved pupil personnel services, community involvement, and special classes for students considered most dropout-prone.

Ongoing and Planned Evaluation Studies:

Individual project evaluations are available as projects are completed. State activity in this area will be reviewed in a planned study of the implementation and management of the Educational Innovation and Support program.

Sources of Evaluation Data:

Evaluation and audit reports of individual projects.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Follow Through

Legislation:

Community Service Act
of 1974 (P.L. 93-644)

Expiration Date:

September 30, 1977

Funding History	Year	Authorization 1/	Appropriation
	1968		$15,000,000
	1969		32,000,000
	1970		70,300,000
	1971	$70,000,000	69,000,000
	1972	70,000,000	63,060,000
	1973	70,000,000	57,700,000
	1974	70,000,000	53,000,000
	1975	69,000,000	55,500,000
	1976	60,000,000	59,000,000
	1977	60,000,000	59,000,000

Program Goals and Objectives:

The authorizing legislation for the Follow Through Program provides "financial assistance to appropriate agencies, organizations, and educational institutions in order that they may conduct Follow Through Programs which will serve primarily children from low income families who were previously enrolled in Headstart and are currently enrolled in kindergarten and primary grades". Further, the legislation provides that projects must provide comprehensive services which, in the judgement of the Secretary, will aid the continued development of the children.

Follow Through is defined in its regulations as "an experimental community services program designed to assist, in a research setting, the overall development of children enrolled in kindergarten through third grade from low-income families, and to amplify the educational gains made by such children in Headstart and other similar quality preschool programs by (a) implementing innovative educational approaches, (b) providing comprehensive services and special activities in the areas of physical and mental health, social services, nutrition, and such other areas which supplement basic services already available within the school system, (c) conducting the program in a context of effective community service and parental involvement, and (d) providing documentation on those models which are found to be effective".

1/ An authorization level was not specified prior to FY 71.

The experimental feature of the program is the implementation of a variety of educational approaches in school settings with greater than average amounts of supplementary services and a high degree of parental involvement. The factor which varies in controlled ways and is thus subject to evaluation is the kind of educational approach. As an experimental program, the focus of evaluation is upon the relative effectiveness of the alternative educational models in contrast to a service program where the overall impact of the program is a major concern. In a experimental program it should not be surprising to find that a number, perhaps many, of the educational approaches being tested are not successful. Whatever the specific results, the overall goal is to add to our knowledge about what works and what does not work for children from low-income families.

The overall development of children and especially their educational gains are clearly the focus of the Follow Through Program. Consequently, the objectives of the various educational approaches, being tested include the improvement of achievement in the basic skills, self-esteem, motivation to learn, general problem-solving ability, etc.

Program Operations:

Twenty different educational models have been developed and are being tested in school districts across the country. Each model is designed and monitored by a sponsoring group such as a university or an educational research laboratory, by means of a grant, and is implemented locally by means of a grant to local education agencies.

In addition to the evaluation emphasis of the Follow Through Program, the scope of the program includes supplementary training for para-professionals and grants to states to provide technical assistance to local school districts receiving Follow Through grants. Under the supplementary training component some participating adults have earned high school equivalency diplomas and even college degrees. In several instances parents have earned teaching certificates and are now classroom teachers. The monitoring of these activities is carried out by a USOE Follow Through staff supplemented by consultants in the fields of educational research, educational administration, curriculum development, and evaluation.

Program Scope:

The U.S. Office of Education funds 164 local projects which were originally nominated by the State Education Agencies and the State Economic Opportunity Office in accordance with USOE and OEO criteria. The last new projects were initiated in school year 1972-73. In FY 76, Follow Through involved approximately 76,000 children in grades kindergarten through third.

To be eligible for Follow Through services, children must be from low-income families. The model development and implementation is provided through 20 sponsor grants, and cost $6,586,312 during school year 1976-77. LEA support costs were $44,364,768 in SY 1976-77.

Program Effectiveness and Progress:

The ultimate effectiveness of Follow Through will be determined by the degree to which it has fostered development of successful approaches to early childhood education of disadvantaged children. The preliminary evaluation findings suggest that some models are more effective than others. The magnitude of the effects, their stability over time and their consistency under different conditions will be reported in early 1977.

The national evaluation is designed primarily to identify which approaches are successful in producing educationally significant gains in areas such as cognitive achievement, motivation to achieve, self-esteem and locus-of-control (i.e., feelings of competence about one's ability to influence important events in one's life). The national evaluation is longitudinal and involves three entering classes, called cohorts of children, participating in 14 of the models operating in the program. In general, children are tested as they enter school (either kindergarten or first grade), at intermediate points, and as they leave the program at the end of third grade. The following chart shows the progression of children involved in the evaluation through the grades by cohort and by school year.

	School Year					
	1969-70	1970-71	1971-72	1972-73	1973-74	1974-75
Cohort 1	K	1	2	3		
	1	2	3			
Cohort 2		K	1	2	3	
		1	2	3		
Cohort 3			K	1	2	3
			1	2	3	

It is difficult to summarize the results of the Follow Through evaluation for a variety of reasons. First, the various educational models must be looked at separately, of course, because the purpose of the experiment is to identify effective approaches. Second, it is important to know model effects on a number of different measures of cognitive achievement and attitudes. Third, the results should be looked at grade by grade as well as at the end of the Follow Through experience. Fourth, to fully comprehend the effects of the models it is necessary to use several different methods of data analysis. Fifth, the results vary to some extent across cohorts. Sixth, the results are not uniform across all sites implementing a given model. This last problem is especially noteworthy because it may mean that certain models can only work in certain settings (i.e., a model may be effective for urban Blacks but not with children from rural areas.) The site-to-site variation may also mean that some models are intrinsically more difficult to implement than others and that a few sites with poor results are simply instances of bad implementations.

The table below shows the results of FT/NFT comparisons on 10 separate outcome measures at the end of third grade. The data represent Cohort III, entering kindergarten children adjusted for pre-school differences. For convenience, the ten measures have been grouped into three outcome domains--tests of basic skills, tests of cognitive/conceptual skills, and tests of affective domain. The Follow Through groups were compared against local and pooled NFT groups. Such comparisons of each of the 10 measures at each site resulted in either "plus" (+) indicating FT-favoring effects or "minus" (-) indicating NFT-favoring effects or "null" (0) indicating no significant differences between FT and NFT. The aggregation of plus and minuses are shown as percents of total number of comparisons in the Table below. The null (0) results are not reported. As an example of how to read the table, consider Sponsor A: 56 comparisons were made on measures of basic skills; 14% of the comparisons favored FT and 23% favored NFT; the remainder, 63%, showed no significant differences.

FOLLOW THROUGH RESULTS
COHORT III-K END OF 3rd GRADE

(+) Comparisons favoring FT
(-) Comparisons favoring NFT

Sponsor	Basic Skills Measures 1/			Cognitive/Conceptual Measures 2/			Measures of Affective Domain 3/		
	Percents (+)	Percents (-)	Number of Comparisons	Percents (+)	Percents (-)	Number of Comparisons	Percents (+)	Percents (-)	Number of Comparisons
A	14%	23%	56	27%	5%	41	6%	22%	36
B	5	37	43	3	24	34	0	19	36
C	2	34	50	0	31	39	3	20	30
D	30	7	43	29	19	31	13	13	30
E	19	13	63	8	29	52	18	15	40
F	0	31	42	3	25	32	0	10	29
G	15	22	46	9	23	35	21	3	29
H	2	11	47	0	0	37	19	0	27
I	3	50	30	17	30	23	11	11	18
J	10	35	20	0	13	16	0	33	12
K	24	16	49	13	3	40	7	3	29
L	20	20	20	0	19	16	0	17	12
M	0	10	10	0	13	8	0	0	6
N	0	50	16	0	46	13	0	25	12

1/ Basic Skills Measures include the following subtests of the Metropolitan Achievement Test (MAT): Word Knowledge, Spelling, Math Computation; and Total language.

2/ Cognitive/Conceptual Measures include the following: Reading, Math Concepts, Math Concepts, Math Problem Solving, and Abstract Reasoning.

3/ Affective Measures include Coopersmith self-esteem and Intellectual Achievement Responsibility Scale (Locus of Control.)

Some of the highlights of the table are summarized below:

- Three models--D, E, and K-- tended to out-perform their comparison groups in measures of Basic Skills.
- Three models--A, D, and K--tended to out-perform their comparison groups in measures of Cognitive/Conceptual Skills.
- Four models- E, G, H, and K--tended to out-perform their comparison groups on Affective Outcomes.
- Model D, which is similar to traditional classrooms but with very intensive work on basic skills, showed superior results in Basic Skills, Cognitive and Conceptual Skills, and performed as well as the comparison groups on Affective Outcomes.
- Model E, which also provides intensive work on basic skills showed superior results in Basic Skillls and on Affective Outcomes.
- Model K, which stresses language skills, produced superior results in the Basic Skills, Cognitive/Conceptual Skills and on Affective Outcomes.

Although the purpose of Follow Through is to identify successful educational approaches, there are some findings of a more general character. For example, while some models tend to be more successful than others, it is also true that each model showed a range of effectiveness and that outcomes depend heavily upon local conditions. No model has been found which will work in any setting; on the other hand, most models showed sucess in at least one setting. It may thus be necessary to give up the notion of "a successful educational approach" and speak instead of "an approach which is likely to work under the following conditions: ... ."

A second general finding is the sparsity of positive results, eg. in basic skills only three models show effectiveness when results are "averaged" across sites. Another example is that, looking at all models and all sites, 69% of the results are neither positive nor negative, ie. the models are not strong enough to create effects which are distinguishable from what would have been expected from children without exposure to the Follow Through models. Of the remaining effects, 10% are positive and 21% are negative. The fact that few models can be considered to provide a better education than that usually found in classrooms for educationally disadvantaged children may or may not be surprising, depending, upon one's view of knowledge about the human learning process and the difficulty of transferring that knowledge to the schools. In any case, the Follow Through results suggest that for disadvantaged children the obstacles to learning are not overcome simply by innovative educational approaches and high expenditures.

On-going and Planned Evaluation Studies:

The on-going evaluation of the Follow Through Program is nearing completion. The final analysis report is being prepared covering Cohort III from data collected in the spring of 1975. In addition, a cost study will provide information on the resources used in Follow Through and comparison sites that can be used in decisions on future replication of projects. The report will be available in early 1977. USOE is in the process of synthesizing the national evaluation findings with those from sponsors and LEAs.

Sources of Evaluation Data:

Education as Experimentation: A Planned Variation Model, Vols. IIA, IIB, (Two Year Effects), Abt Associates, Inc. May 1975.

Education as Experimentation: A Planned Variation Model, Draft in Progress, Abt Associates, Inc. final due November 1976.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

School Assistance in Federally Affected Areas (SAFA) - Maintenance and Operations

Legislation:

P.L. 81-874, as amended by P.L. 93-380

Expiration Date:

June 30, 1978*

Funding History:

Year	Authorization	Appropriation
1965	$359,450,000	$332,000,000
1966	388,000,000	388,000,000
1967	433,400,000	416,200,000
1968	461,500,000	416,200,000
1969	560,950,000	505,900,000
1970	650,594,000	505,400,000
1971	935,295,000	536,068,000
1972	1,024,000,000	592,580,000
1973	1,025,000,000	645,495,000
1974	989,391,000	574,416,000
1975	980,000,000	635,016,000
1976	995,000,000	684,000,000
Transition Quarter		70,000,000**
1977	1,090,192,000***	

Program Goals and Objectives

P.L. 81-874 provides assistance to local school districts for current operating costs of educating children in areas where enrollments are affected by Federal activities. The purpose of the legislation is to minimize the fiscal inequities caused by both the presence of tax-exempt Federal lands and the burden of providing public school education to children who reside on Federal property or whose parent is employed on Federal property or is a member of one of the uniformed services. The law also provides for the full cost of educating children residing on Federal property when State law prohibits the expenditure of State funds for the schooling of such children or where no local education agency is able to provide suitable free public education. Assistance is also provided for schools damaged in major or pinpoint disasters. Indian lands and low-rent housing are included in eligible Federal property under this law.

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* Provisions pertaining to "A" category pupils and children attending schools on Federal installations are permanent.

** Includes $15 million in Transition Quarter funds for fiscal year 1977 start up costs

*** Does not include disaster provisions or estimates for hold harmless provisions.

P.L. 874 is the closest approximation to general aid from the Federal Government available to eligible school districts. SAFA funds become part of the general operating accounts of LEAs. P.L. 93-380 incorporated two exceptions, effective in FY 1976, for a) handicapped children of military personnel, or handicapped children residing on Indian lands, funds for which must be used for special programs to meet the needs of these children, and b) children from public housing, funds for which must be used for ESEA Title I-type programs. Section 5(d)(2), which provides for a waiver to the prohibition against State consideration of P.L. 874 payments when determining the eligibility and amount to be paid under a State aid program, if the State has a program designed to equalize expenditures among its school districts, was to become effective in FY 1975. Interim regulations to implement this provision were published in June, 1976. Under provisions of Section 330(a), P.L. 94-482, these provisions can have no adverse effect before July 1, 1977.

Program Operations

Payments are made directly to local education agencies (or to Federal agencies where they are operating schools). The payments are based on normal expenditures per pupil from local sources for children who reside on Federal property and/or reside with a parent employed on Federal property, or who had a parent on active duty in the uniformed services. Applications are submitted to the Commissioner through the State education agency, which certifies that information in the local application is accurate insofar as records in State offices are concerned.

The law as amended specifies how to compute the amount to which a local educational agency is entitled. Basic to that process is the computation of the local contribution rate (LRC) if the minimum rates of either one-half the State or national average per pupil cost is not used. To calculate the rate, a determination must be made as to which school districts in a State are like that of the agency in question. The rate is the result of dividing the sum of the expenditures from local sources made two years previously by the comparable districts, by the average daily attendance of such districts in that same prior year. An agency's entitlement is then computed according to formulas and qualifications prescribed by the amended law. It is the product of the rate and various stipulated percentages of the rate times the number of pupils who may be determined to be in more than a dozen different categories with respect to the residence and employment of a parent on Federal property.

Among the changes made by the Education Amendments of 1974 affecting Public Law 81-874 was the establishment of four provisions called the savings or hold-harmless clauses. Two of them became effective in fiscal year 1975 and two in 1976. The first hold harmless provision pertains to two classifications of local educational agencies, those entitled to a payment for fiscal year 1973 equal to not less than 10 percent of its current expenditures and, in the second class, any other agencies. Agencies in the first group are entitled to payments for fiscal year 1975 through 1978 equal in amount to not less than 90 percent of the payment of the prior fiscal year. The other agencies may not be paid less than 80 percent of the preceding year's payment.

The second hold harmless provision states that the entitlement of any agency whose number of children found to be affected by Federal activities declines 10 percent in fiscal years 1973, 1974, and/or 1975 may be 90 percent of the entitlement of the preceding fiscal year in cases due to a decrease or cessation announced after April 16, 1973, of Federal activities.

The third hold harmless provision requires the Commissioner to determine in fiscal years 1976 through 1978 the number of children who live with a parent employed on Federal property in another State or county other than of the applicant school district, but within reasonable commuting distance of it. If those children equal at least 10 percent of the children who live on Federal property or with a parent who works on Federal property in the same county or State as the district, or had a parent on active duty in the uniformed services, the amount to which the agency is entitled with respect to that category of children may not be less than 90 percent of its same type of payment in the previous fiscal year.

The fourth hold harmless clause declares that the Commissioner in fiscal years 1976 through 1978 must determine the amount each applicant agency would be paid if the appropriated funds were allocated to them according to the prescribed procedures in the event the appropriated sums are insufficient to pay in full all amounts due, both with and without regard to children who live on, or with a parent employed in, a low-rent public housing project. If the amount without considering those children is greater than the amount with taking them into account the Commissioner must pay to the applicant agency an amount equal to the difference.

School districts received on the average $659 for each child in attendance whose parents worked and resided on Federal property and about $144 for each child whose parents worked on or resided on Federal property. Federal payments on the average represented about 2 percent of the total operating costs of eligible districts, with a range of less than 1 percent to more than 90 percent of the total current operating expenses of a school district.

Program Scope

In 1976 there were 4,356 awards made on the basis of 2,469,108 school children counted for aid purposes, including payments to other Federal agencies maintaining schools for 42,000 pupils. Since the funds are available for the general operating accounts of school districts, some or all of the 23 million children enrolled in SAFA-aided school districts could conceivably benefit from the aid provided by the program. Funds were provided for major disaster assistance in FY 1976 in the amount of $12 million.

Program Effectiveness and Progress

Inequities in the impact aid program have limited its effectiveness in accomplishing the purpose of minimizing inequities caused by Federal activities. This has been amply documented in an extensive study conducted in 1969 by the Battelle Memorial Institute under the direction of the U.S. Office of Education. Many of the conditions they described are still in effect, but some important changes under the new provisions of P.L. 93-380 are noted below. The study found that impact aid payments result in unjustified payments to many school districts and over-compensates them for the real or presumed burden of Federal activity. The major sources of these impact aid "windfalls" are:

1. Payments that far exceed the cost to the local government of educating Federal pupils.
2. Payments to wealthy school districts which could finance better-than-average school costs without SAFA aid.
3. Payments to districts where the economic activity occurring on non-taxable Federal lands (e.g., a leased oil well or an aircraft company on Federal property) generates enough local taxes to support increased school costs.
4. Payments to school districts which are compensated twice for the same government impact under different Federal legislation. For example, some districts benefit from shared revenues, such as timber and Taylor grazing revenues from public lands and are entitled to impact aid under P.L. 81-874. Because impact aid is based upon the student population rather than property characteristics, the two payments frequently overlap to the benefit of the school districts.
5. Higher per pupil payments to rich districts than to poor ones resulting from the inclusion of local expenditure in calculating the aid formula.

6. Children are counted who would be attending school in a district even if the Federal government had never come into the area. As an example, Battelle cites the case of farmers who take employment at an airbase and still maintain their farm residences in neighboring school districts. Their children may then qualify for SAFA aid.

7. Payments that often do not reflect the economic stimulus that the Federal government may cause in a community.

In some instances, school districts may be underpaid under the present law. For example, in one school district, government-owned house trailers were parked on private property near an airbase. In this instance, neither the airbase nor the trailers were subject to taxation and the school district was only able to impose property taxes on the relatively poor land on which the trailers were parked. In determining its entitlement, the school district was paid on the basis of B pupils because their residence was on private taxable property.

As a result of these observations, Battelle proposed specific changes in the existing law:

1. Absorption - Paying only for those students in a school district that exceed the Federal impact on all districts. This average impact for Federal activity was estimated at 3 percent of all students for the country as a whole.

2. Change in entitlement - Changing the entitlement for B pupils from the current level of 50 percent of the A students, i.e., those whose parents live and work on Federal property, to 40 percent of the A students. The rationale offered for this change is that school districts are presumed only to lose an estimated 40 percent of property tax revenues normally paid by business, which, for the parents of B students, is the untaxable Federal property where they work.

3. Richness cutoffs - Reducing or eliminating districts that have an average tax base that is 25 percent above State average per pupil tax base. The present law has no such cutoff.

Battelle also suggested that the local tax effort be taken into account in devising any formula changes; that Federal in-lieu-of-tax payments, shared revenues and other special payments be deducted from impact aid payments; and that the capital cost program (P.L. 815) be merged with the operating cost program (P.L. 874).

P.L. 93-380 made substantial changes in the program, largely effective in FY 1976. While these changes did not incorporate the specific recommendations of the Battelle study, some of them are consistent with the spirit and intent of these recommendations. For example, the existing "B" category pupils (reside on Federal property or reside on privately owned property with a parent employed on Federal property or in the uniformed services) were put into four groups for determining entitlement: 1) parent in the uniformed services--entitlement remains at 50 percent of the LCR, 2) parent is a civilian employed on Federal property located in whole or in part in the same county as the school district--entitlement will be 45 percent of the LCR, 3) parent is a civilian employed on Federal property located outside the county of the LEA--entitlement will be 40 percent of the LCR, 4) parent employed outside the State of residence--no entitlement. Another provision to make the program more equitable will allow States with equalization programs to consider SAFA funds to some extent in their State aid programs, offsetting windfall payments some districts might receive.

Sources of Evaluation Data:

1. Battelle Memorial Institute, School Assistance in Federally Affected Areas: Study of Public Laws 81-874 and 81-815, published by Committee on Education and Labor, H.R., 91st Congress, 2nd Session, GPO, 1970.

2. Administration of Public Laws 81-874 and 81-815. Annual Report of the Commissioner of Education, U.S. Department of Health, Education, and Welfare, GPO, 1976.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

School Assistance in Federally Affected Areas (SAFA): Construction

Legislation:

P.L. 81-815, as amended
by P.L. 93-380

Expiration Date:

June 30, 1978*

Funding History:	Year	Authorization	Appropriation
	1966	$50,078,000	$50,078,000
	1967	58,000,000	52,937,000
	1968	80,620,000	22,937,000
	1969	79,162,000	14,745,000
	1970	80,407,000	15,181,000
	1971	83,000,000	15,000,000
	1972	91,250,000	20,040,000
	1973	72,000,000	15,910,000
	1974	72,000,000	19,000,000
	1975	72,000,000	20,000,000**
	1976	70,000,000	20,000,000**
	1977	70,000,000	25,000,000**

Program Goals and Objectives

P.L. 81-815 is designed to provide local education agencies with financial aid for school construction under specified conditions: for construction of urgently needed minimum school facilities in school districts which have had substantial increases in school membership as a result of new or increased Federal activities (Section 5); where provision of the non-Federal share of construction imposes a financial hardship (Section 8); and for the construction of temporary school facilities where a Federal impact is expected to be temporary (Section 9). The law also directs the Commissioner to make arrangements for providing minimum school facilities for Federally-connected children if no tax revenues of the State or its political subdivisions may be spent for their education or if the Commissioner finds that no local education agency is able to provide a suitable free public education (Section 10). Assistance is authorized for construction of minimum school facilities in local education agencies serving children residing on Indian lands by Sections 14(a) and 14(b), and

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*Provisions pertaining to Section 5(a)(1) pupils and Sections 10 and 14 are permanent.

**Exclusive of major disaster assistance.

Section 14(c) authorizes assistance to financially distressed local education agencies which have substantial Federal lands and substantial numbers of unhoused pupils. Emergency aid is available to LEAs for the reconstruction of school facilities destroyed or seriously damaged in school districts located in delcared major disaster areas and in certain districts affected by a pinpoint disaster (Section 16).

Since FY 1967, **appropriations** for P.L. 81-815 have been substantially below the amounts required for funding of all qualified applicants under the law. The basic law requires that disaster assistance under Section 16 be funded from available funds (these payments may then be covered by supplemental appropriation requests) and that Section 9 (temporary Federal impact), 10 (school construction on Federal property), and 14(a) and (b) (children residing on Indian lands) will receive priority over other provisions. The law requires that eligible applications be ranked within each section on the basis of relative urgency of need and that available funds be assigned on this basis. The ranking by relative urgency of need is based on the percentage of federally connected children eligible for payment in a school district and the percentage of "unhoused" pupils in the district. "Unhoused" pupils are those in membership in the schools of a district over and above normal capacity of available and usable minimum school facilities.

Program Operations

All grants are made to qualified school districts on the basis of applications. The amount of payment to a LEA under Section 5 varies from 95 percent of the average State per pupil cost for construction for increases in the number of children residing on Federal property to 50 percent for increases in the number of children residing with a parent employed on Federal property or on active duty in the uniformed services, to 45 percent for increases resulting from Federal activities carried on either directly or through a contractor. Grants are further limited to actual cost of providing minimum school facilities for children who would otherwise be without such facilities. Full costs of construction are authorized for temporary facilities required as a result of Federal activities and for facilities which local education agencies are unable to provide for children residing on Federal property. For children residing on Indian lands, grants are based on needs of the school district for providing minimum school facilities.

In recent years appropriation language has directed available funds toward the most urgent needs for school facilities. In FY 1975, for example, funds were directed toward high priority projects under Section 5 (grants to heavily impacted local school districts) and to facilities for children residing on Indian lands (Section 14). In FY 1976, funds were directed toward projects under Section 5 in school districts impacted by Trident activities in the State of Washington. After funding emergency repairs to Federal installations constructed under Section 10 remaining funds were directed to Section 5 and Section 14(a) and (b) projects with approximately $7 million reserved for Section 5 and $7 million for Section 14 in FY 1976. In addition $1.6 million was provided for major disaster areas under provisions of Section 16.

Program Scope

Since 1951 P.L. 815 has provided $1.5 billion for school construction to house more than 2 million pupils. Funding history for the past 10 years is as follows:

Section and Fiscal Year	Number of projects	Amount of funds reserved	Number of classrooms	Pupils housed
Section 5, 8, 9				
1967	105	$20,693,676	1,100	33,355
1968	36	10,647,381	903	27,208
1969	123	69,803,905	2,416	98,390
1970	69	1,004,911	7,801	241,770
1971	3	568,915	277	6,335
1972	-	-	116	3,480
1973	9	9,355,242	193	5,145
1974	23	17,319,924	223	6,223
1975	3	7,404,240	94	2,768
1976	3	3,628,787	50	1,470
Section 14				
1967	2	1,782,159	16	435
1968	2	1,085,998	20	690
1969	11	2,071,858	20	505
1970	-	2,603,869	-	-
1971	4	4,346,095	30	597
1972	1	2,448,601	5	164
1973	1	930,000	10	120
1974	8	9,639,583	135	2,981
1975	0	8,073,672*	-	-
1976	0	7,229,686*	-	-
Section 10				
1967	8	7,386,834	100	2,440
1968	13	1,749,902	38	813
1969	20	14,469,886	137	3,704
1970	11	1,166,197	37	746
1971	14	12,651,927	55	4,152

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*FY 75 and FY 76 funds available were used to cover costs of ongoing projects.

Section and Fiscal Year	Number of projects on funds reserved	Amount of funds reserved	Number of classrooms	Pupils housed
1972	9	$10,151,252	99	2,390
1973	1	18,000	-	-
1974	6	505,690	3	70
1975	-	811,291	-	-
1976	-	6,207,689	-	-

In addition, more than $31 million has been obligated to reconstruct school facilities destroyed or seriously damaged by a major disaster since such assistance was first authorized in FY 1966.

Program Effectiveness and Progress

A backlog of eligible applications has accumulated since 1967, when appropriations were no longer adequate fully to fund all of them. At the close of FY 1975, this backlog was estimated at $533 million, as follows:

Section 5	$151.6 million
Section 10	97.9
Section 14	283.5
	$533.0 million

In recent years available funds have been directed toward high priority needs of Section 5 and Section 14 (a) and (b), with some funding for emergency repair of Federal installations constructed under Section 10. A study of current construction needs under Section 10 is now in progress. Some of the entitlements making up this backlog may not represent current needs, which must be demonstrated before actual funding can occur, and some represent low priority applications with relatively small numbers of unhoused pupils. However, the backlog of eligible applications is growing, with estimated entitlements for the current year at the $70 million level.

An evaluation of P.L. 81-815 was contained in a study by the Battelle Memorial Institute. The study concluded that with its system of project by project approval the administration of P.L. 815 is unnecessarily complicated. Furthermore, "because capital projects are easily deferrable in the Federal budget, P.L. 815 provides for uncertain levels of support based upon a priority system that tends to penalize a district that proceeds on its own to provide classrooms for federally connected students." The Battelle Study recommended that the capital cost program (P.L. 815) applicable to the usual situations be merged with the operating cost program (P.L. 874) in order to simplify its administration and provide assistance on a current basis.

Sources of Evaluation Data:

1. Battelle Memorial Institute, School Assistance in Federally Affected Areas: A Study of Public Laws 81-874 and 81-815, published by the Committee on Education and Labor, H.R. 91st Congress, 2nd Session, GPO, 1970.
2. Administration of Public Laws 81-874 and 81-815. Annual Report of the Commissioner of Education, U.S. Department of Health, Education, and Welfare, 1976 (in process).

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

PROGRAM NAME:

Emergency School Aid Act (ESAA)

Legislation:

Title VII of the Education Amendments of 1972 (PL 92-318) as amended by the Education Amendments (PL 93-380) and PL 94-43

Expiration Date:

June 30, 1976

Funding History

Fiscal Year	Authorization($)	Appropriation($)
1973	1,000,000,000	228,000,000
1974	Total of	234,000,000
1975	1,000,000,000	215,000,000
1976	FY 74-76[1]	248,000,000
Transaction Quarter		3,000,000[2]
1977	1,000,000,000[3]	240,000,000

Program Goals & Objectives

In June of 1972 the Emergency School Aid Act (ESAA) was enacted into law to provide local educational agencies with financial assistance -- (1) to meet the special needs incident to the elimination of minority group segregation and discrimination among students and faculty in elementary and secondary schools; (2) to encourage the voluntary elimination, reduction or prevention of minority group isolation in elementary and secondary schools with substantial proportions of minority group students; and (3) to aid school children in overcoming the educational disadvantages of minority group isolation. In addition to these general objectives, each of the Act's authorized subprograms has specific objectives consistent with the Act's overall goals.

ESAA originally authorized eight subprograms, three of which were State apportionment programs (Basic Grants, Pilot Projects, and Nonprofit Organization grants) and the remaining five (Bilingual Projects, Educational Television, Metropolitan Area Projects, Special Projects, and Evaluation) were discretionary programs.

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1. Original authorization was for 1 billion dollars for FY 73 and a similar amount for FY 74. PL 93-380 changed the authorization such that the second billion dollars is authorized for the entire period from FY 73 through FY 76.

2. An additional $30 million was available from the FY 1976 appropriation from the FY 1976 appropriation from June 1, 1976 through the transition quarter.

3. PL 94-482 authorizes $1,000,000,000 for ESAA activities for fiscal years 1977-79. Additionally, $25,000,000 and $50,000,000 are authorized for special award categories in 1977.

The 5% reservation from the annual appropriation for Metropolitan Area Projects was eliminated by Section 642 of P.L. 93-380 in August, 1974. Since that amendment and pursuant to statute and regulation, 87% of the annual appropriation has been reserved for the State apportionment programs -- Basic Grants 64%, Pilot Projects 15% and Nonprofit Organization grants 8%. The remainder of the annual ESAA appropriation is reserved as follows for the discretionary programs: Bilingual Projects, 4%; Educational Television, 3-4%; Special Projects (including Metropolitan Area Projects), 4-5% and, Evaluation, 1%.

The objectives of the five discretionary programs can be summarized as follows. The Bilingual Projects provide funds to local education agencies and private nonprofit organizations for bilingual programs designed to equalize the educational opportunity of minority group children from environments where the dominant language is other than English. Educational Television contracts are awarded to public or private non-profit agencies, institutions or organizations for the development and production of integrated children's television programs of cognitive and affective educational value. Metropolitan Area Projects are authorized to local education agencies for the purpose of maintaining integrated schools through interdistrict transfers, and for area-wide plans to reduce or eliminate minority group isolation. Special Project assistance is awarded to State and local educational agencies, other public agencies and organizations and private nonprofit organizations for purposes of conducting special programs and projects which are consistent with the purposes of the Act. The final discretionary program, Evaluation, authorizes grants to and contracts with, State educational agencies, institutions of higher education, private organizations for purposes of evaluating programs assisted under the Act.

As with the discretionary programs, the three State-apportioned programs (Basic, Pilot, and Nonprofit Organizations), have unique sets of objectives. Basic Grants are awarded to eligible school districts to meet needs arising from the implementation of several kinds of desgregation plans. Basic Grants may be awarded to any LEA which (a) is implementing a required plan or has adopted and will implement a nonrequired plan if assistance is made available; or (b) has a plan to enroll non-resident children in its schools to reduce minority group isolation; or, (c) in the case of districts with minority group student enrollments exceeding 50 percent, is establishing or maintaining at least one integregated school. Nonprofit Organization grants provide funds to public or private nonprofit agencies, institutions, or organizations to carry out programs designed to support local education agency development or implementation of a desegregation plan.

Pilot Project grants are awarded to local education agencies for unusally promising project designed to overcome the adverse effects of minority group isolation by improving the academic achievement of children in minority group isolated schools. To be eligible for a Pilot grant an LEA must have a plan which would make it eligible for a Basic Grant. In addition, at least 15,000 minority group students must be enrolled in the schools of the LEA or minority students must constitute more than 50 percent of the total LEA enrollment.

Program Operations

Sums annually appropriated pursuant to the Act for Basic, Pilot, and Nonprofit Organization grant categories are apportioned to States on the basis of the ratio of their number of minority group school-aged children to the number of such children in all States. Local school districts and nonprofit organizations compete for the funds apportioned to their respective States.

In applying for Basic and/or Pilot grants, local school districts must demonstrate that they have needs related to the Act's objectives and that they have designed a program based upon the Act's twelve authorized activites that shows promise in achieving one or more of the Act's objectives. Nonprofit organizations must demonstrate in their applications that they have designed programs which will effectively support local school districts' efforts to develop or implement a desegregation plan.

Application for two of the discretionary grant programs -- Educational Television, Special Projects -- are made directly to the Office of Education in Washington; the Evaluation program operates with contracts under government procurement regulations; and, Bilingual and all other ESAA program applications are submitted to HEW Regional Offices. Each of the programs has its own unique set of funding criteria and award procedures which are specified by the Act and ESAA regulations.

Program Scope

While the Act as amended in 1974 (PL 93-380) authorizes an appropriation of one billion dollars for FY 73 and an equal amount for the period ending June 30, 1976, actual appropriations have amounted to $228 million, $234 million, $215 million and $215 million for fiscal years 1973, 74, 75 and 76 respectively. Since funds are annually appropriated for expenditure during the fiscal year succeeding the year of appropriation, the major thrust of the Act began during school year 1973-74 and it is expected to continue through the 1976-77 school year.

Annual Obligations and number of awards by subprogram and fiscal year are summarized below:

ESAA Obligations ($ 1,000) and Number of Awards by Fiscal Year (FY)

	FY 73		FY 74		FY 75	
Program	Oblig.	Awd.	Oblig.	Awd.	Oblig.	Awd.
Basic	117,675	445	155,845	570	135,386*	379
Pilot	21,960	95	27,116	141	33,948	164
Nonprofit	29,081	241	19,746	238	18,103	205
Metro	5,448	14	-0-	-0-	-0-	-0-
Bilingual	8,888	39	9,958	47	9,052	34
ETV	11,366	5	6,890	8	7,794*	8
Special Projects	6,834	56	11,795	77	8,459	36
Evaluation	2,286	2	2,489	2	2,257	2
Total	203,538	897	233,839	1,083	214,999	828

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*Includes funds transfered from Special Projects discretionary account.

As indicated by the above, total obligations and number of awards increased from FY 73 to FY 74 then decreased in FY 75. Concomitant with the decrease in obligation and awards in FY 75 was a 17% increase in the size of the average award with a range of change across subprograms of -9.3% from Evaluation to +54% for Special Projects. The two largest subprograms, Basic Grants and Pilot, had a +38.9% and +7.6% increases in their average grant size respectively.

The resource allocation process for the FY 75 appropriation is summarized in more detail below:

FY 75 ESAA RESOURCE ALLOCATION

Program	Applicants	Awards	Oblig.	Avg. Award	% of $ Requested	# of States
Basic	677	379	135,386,285	357,220	47.9%	47
Pilot	214	164	33,948,000	207,000	48.5%	32
Nonprofit	400	205	18,103,000	88,307	27.5%	44
Bilingual	92	34	9,052,000	266,235	23.2%	20
ETV	33	8	7,793,999	974,250	16.4%	7
Spec. Prog.	60	36	8,459,712	234,992	33.5%	26*
Evaluation	NA	2	2,257,000	1,128,500	NA	NA
Total	1,476	828	214,999,996	259,662	40%	NA

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* Includes five jurisdictions other than States

Although most ESAA FY 75 applicants were eligible for awards, the above table indicates that only 56.1% could be funded out of the FY 75 appropriation which covered 40% of the dollars requested by applicants. Also apparent from the table is the fact that the State-apportioned subprogram (Basic, Pilot and Nonprofit) awards were distributed over more States than were the discretionary subprogram awards as would be expected by the State-apportionment formula and the nature of those subprograms.

Program Effectiveness And Progress

Reports on two projects are given below: the first describes the "National Evaluation of ESAA Program" and, the second, the "Conditions and Processes Of Effective School Desegregation." As a brief overview, the ESAA evaluation (which is an interim report describing results after the second year of a three-year project) concluded generally that (a) there were no clear differences in outcome measures between students enrolled in ESAA-funded schools and non-ESAA-funded schools, and (b) the ESAA resource allocation process successfully dispensed funds to districts with needy students. "Conditions And Processes Of Effective School Desegregation," concluded that some of the conditions associated with successful integration are under the control of school personnel and actions which might be taken to improve race relations are compatible with actions to improve student achievement.

National Evaluation Of ESAA Program

Overview Of The Evaluation: The national evaluation of the ESAA program began early in 1973, prior to full scale local implementation of ESAA. Evaluation activities have focused on the two largest subprograms--the Basic and Pilot Programs. The national evaluation of the Basic Grants and Pilot programs was designed to determine the cumulative impact of those programs over a period of three school years in terms of the Act's objectives -- reduction in minority group isolation, elimination of segregation and discrimination, and improvement of student basic skills. The evaluation began collecting data during the school year 1973-74 -- the first year that the program was implemented at the local level -- and completed data collection during the 1975-76 school year. Data on achievement, school climate and discrimination, and reduction in minority group isolation, were collected annually in a nationally representative sample of approximately 75 Basic and 42 Pilot elementary schools and 54 Basic secondary schools in 85 ESAA-funded school districts. Within each school in the evaluation, samples of approximately 60 students in each of grades 3, 4, and 5 or 10, 11, and 12 were randomly selected across sections within grade to participate in the evaluation. Students were followed longitudinally through those grade bands, with grade 5 and 12 students leaving the sample each year. In any one year there were approximately 27,000 students, 4,000 teachers, 172 principals, and 85 local ESAA coordinators, district business managers, and superintendents in the evaluation sample.

Results At End Of Year-Two -- Program Impact: In the first evaluation year (1973-1974), there was little evidence of substantial differences in program resources or services between the ESAA-funded schools and the non-ESAA schools. For this reason, and because the sample students had received only about five and a half months' exposure to ESAA programs that were still in their initial implementation phase, it came as no surprise that there was no evidence of ESAA program impact. During the second year (1974-75), there were indications of a possible trend toward larger differences in total funding between ESAA-participating and non-ESAA schools, though allocations for activities seemingly relevant to the outcome measures were still similar for the two groups of schools. Again, there was no clear evidence of ESAA program impact, on either test score gains or gains in school climate measures. Within the Basic Elementary sample, ESAA-funded schools made larger gains than non-ESAA schools in both reading and mathematics, and in all three grade levels sampled. Despite the consistency in direction of these findings, however, none of the differences was statistically significant. Thus, it will be important in subsequent analyses to examine results for the third evaluation year (1975-76) to determine whether the apparent trends toward greater ESAA/non-ESAA differences in resources and in outcomes increased in the final year of the evaluation.

Results At End Of Year-Two -- Resource Allocations And Services Delivered: Evidence from the first two years of program implementation (1973-74 and 1974-75) indicates (a) that the ESAA resource allocation process successfully dispensed funds to districts with needy students, (b) that those districts in turn allocated ESAA funds to needy schools, and (c) that the recipient schools translated the funds into needed services and targeted those services toward students with acute needs for compensatory education programs.

Results At End Of Year-Two -- Relationships Among Program Variables, Student Achievement, And School Climate: For the exploratory analyses reported here, 1974-75 data from ESAA-funded and non-ESAA schools were combined, since the purpose was to determine what program features were associated with successful outcomes, regardless of funding sources for those programs. The relationships discovered in these analyses, though somewhat tentative, suggest a number of important interactions that have policy implications for ESAA and similar educational programs. It should be noted that the relationships summarized below represent general trends, but were not always found at every grade level or for every subtest.

1. Program funding and resources can make a difference, particularly if they are applied to activities directly related to the outcome measures of concern.

2. A greater degree of instructional program focus and structure appears to aid the achievement of low-achieving, disadvantaged students such as those in the ESAA-participating schools.

3. Parent involvement can apparently be beneficial to student achievement, when those parents are present in the classroom as paid instructional aides, volunteers, or visitors.

4. Efforts to improve interracial climate and attitudes, while desirable in their own rights, evidently have beneficial effects on achievement as well.

Results At End Of Year-Two -- Conclusions: The combined data from the first two years of the ESAA evaluation show clearly that dollars have been targeted toward needy school districts, schools, and students; further, those dollars have been translated into services directed toward students with needs for such services. This finding is important for two reasons. First, it implies that the ESAA resource allocation process is functioning as intended. But at the same time, it raises questions about why a program so appropriately targeted should have yielded no solid evidence of overall impact (i.e., impact assessed by pooling across sites) on student achievement or school climate. Of course, in any evaluation, the outcome measures used as criteria of program success may be insufficiently sensitive to changes that might have been fostered by that program. However, the achievement tests used, while not without their deficiencies, were carefully selected for their appropriateness to the evaluation.

A more convincing explanation for the apparent lack of ESAA impact lies in the fact that, possibly because of the sample districts' freedom to adjust their allocation of other federal program funds among the various schools, the ESAA participating schools often did not differ greatly from the paired non-ESAA schools with respect to the total per student funds allocated for ESAA-relevant activities. Though the differences appeared greater in the second year of ESAA implementation than in the first, most were still of modest size. Nor was a pattern of large or consistent differences found between ESAA-participating and non-ESAA-participating schools in the services offered to their students. Thus, the anticipated clear-cut differences between ESAA-participating and non-ESAA schools -- differences on which the expectations of outcome differences were based -- largely failed to materialize. Nevertheless, there are definite indications that some local ESAA projects were quite effective, but that the successes of those projects were obscured in the overall impact analyses by the failures of other projects. When data from both ESAA-participating and non-ESAA schools were combined, and differences in funding source were ignored, certain program characteristics were found to be associated with more favorable outcomes. While the strength and the generalizability of the evidence favoring particular program approaches varied considerably, it appears that the more successful programs were ones in which

1. greater expenditures and personnel resources were focused on activities related to the evaluation's outcome measures (i.e., basic skills and school climate),

2. there was stronger and more assertive administrative leadership, particularly with respect to instructional materials and policies,

3. lessons were more highly structured, with teachers using praise very selectively, and making greater use of behavioral objectives and of practice sessions targeted toward those objectives,

4. parents were more heavily involved in the classroom, and

5. efforts were made by teachers and administrators to promote positive interracial climate and attitudes.

Conditions And Processes Of Effective School Desegregation

Overview Of The Study: The study of conditions and practices of effective school desegregation was completed in July of 1976 and focused on school characteristics that distinguish between schools that are more effective and less effective in achieving positive results of desegregation. Effectiveness was defined by measures of student achievement and of race relations. The goal was finding school conditions that are susceptible to change and that show promise as components of a program to improve the process of integration. The focus of the project was on black and white student desegregation and most of the schools in the study had substantial numbers of both black and white students. In order to provide a range of racial composition, some schools with up to 90 percent of one race were included.

The data for the project were obtained from a survey of 96 elementary schools and 72 high-schools conducted in the Spring of 1974, and a follow-up survey of 22 elementary schools and 21 high-schools in 1975. Site visits and interviews were conducted in 24 elementary schools and 24 high-schools in 1974 and in all 43 schools in 1975. The purpose of the site visits was to obtain examples of school practices and problem-solving techniques. The interview material was used to develop specific suggestions for action by school personnel.

Fifth-grade students in elementary schools and tenth-grade students in high-schools took a 50-minute achievement test and completed a questionnaire. The questionnaire contained questions regarding personal attitudes, background, and descriptions of the school. The outcome measures of the study were based on the student data. At the elementary school level, two measures of race relations were used. The first, labeled "Student racial attitudes," included statements of personal attitude, such as desire for friends of a different race and liking for integrated schooling. The second, labeled "Perceived school racial attitude," included statements about how students thought teachers and principals liked integration. At the high-school level, two additional measures of race relations were used. A measure of racial contact was obtained from students' descriptions of their voluntary associations with students of a different race and a measure, labeled "School fairness," assessed the degree to which students felt that school personnel and practices were fair to them.

Principals, teachers, and, in high schools, guidance counselors also completed questionnaires. Items from the questionnaires of staff members were grouped to form composite measures descriptive of school characteristics. Among the measures of school characteristics were teachers' racial attitudes, principals' racial attitudes, support for integration, teaching style, and multi-racial teaching practices.

In attempting to explain variations in outcomes, emphasis was placed on school characteristics rather than on broader community conditions. This emphasis focuses attention on actions schools can take to improve integration. In statistical analyses of the relationship between school characteristics and outcomes, background variables that might be expected to influence outcomes were taken into account. The background measures were the socio-economic status of black students, the socio-economic status of white students, the racial composition of the school, the degree of urbanness of the area in which the schools were located, and the location of the school in Southern or non-Southern states. The unit of analysis was the school.

Major Findings: The major findings of the study were as follows:

1. Poor black students often attend schools whose staffs (as a group) do not provide leadership appropriate for desegregation. These schools are characterized by negative teacher racial attitudes, the absence of teaching practices to improve race relations, and frequent perceptions by teachers of differences between black and white students.

2. Many schools have adopted specific practices and policies that are effective in improving race relations among students. Examples of such methods of teaching for effective race relations include use of multi-racial curriculum materials, teaching of minority group history and culture, open classroom discussions on race, and assignment of black and white students to work together and to play together in organized activities.

3. High schools that have good race relations tend to have principals who are evaluated highly by teachers. These principals are supportive of both black and white teachers. There is evidence that unprejudiced high school principals help improve student race relations. Their impact results from leadership to adopt effective practices and policies.

4. Schools have better race relations among students when teachers, administrators and students communicate support for integration.

5. Many of the conditions associated with successful integration are under the control of school personnel. Furthermore, most of the methods of teaching effective race relations do not involve substantial or continuing expenditures.

Conclusions: The findings support the following conclusions. First, there are school conditions that are systematically related to favorable outcomes of integrated schooling, particularly to good race relations, over a wide range of socio-economic, demographic, and geographic conditions. Second, some of the conditions associated with successful integration are under the control of school personnel. It is feasible for schools to have programs to improve teaching practices, racial attitudes, support for integration, and interpersonal relations. Third, while school conditions have varying effects on different student outcomes, the findings are not plagued by the contradictions and incongruencies often found when many outcomes are considered simultaneously. In general, actions that might be taken to improve race relations are compatible with actions to improve achievement. Conditions conducive to favorable attitudes of white students are consistent with those conducive to favorable attitudes of black students. It is possible to build a program of simultaneous activities to improve a wide range of components of effective integration, with reasonable hope of success.

Primary Sources Of ESAA Evaluation Data

1. Coulson, J. E. and others. The first year of Emergency School Aid Act (ESAA) implementation: Preliminary analysis. System Development Corporation, September 15, 1975.
2. Ozenne, D. G. and others. Achievement test restandardization: Emergency School Aid Act national evaluation. System Development Corporation, November, 1974.
3. Wellisch, J. B. and others. An in-depth study of Emergency School Aid Act (ESAA) schools: 1974-1975. System Development Corporation, July, 1976.
4. Coulson, J. E. and others. The second year of Emergency School Aid Act (ESAA) implementation. System Development Corporation, July, 1976.
5. Coulson, J. E. National evaluation of the Emergency School Aid Act (ESAA): Summary of the second-year studies. System Development Corporation, July, 1976.
6. Forehand, G. A. and others. Conditions and processes of effective desegregation. Educational Testing Service, July, 1976.

Ongoing Evaluation Studies

1. Evaluation of the Emergency School Aid Act Basic Grant Program, under contract with System Development Corporation.
2. A Longitudinal Evaluation of the Emergency School Aid Act Pilot Program, under contract with System Development Corporation.
3. Evaluation of the Emergency School Aid Act Nonprofit Organization Programs, under contract with the RAND Corporation.

Studies Of The Emergency School Assistance Program (ESAP)

(1) Crain and others. Southern Schools: An Evaluation of the Emergency School Assistance Program and of School Desegregation. 2 volumes, Chicago: National Opinion Research Center, 1973.

(2) Acland, H. Secondary Analysis of the Emergency School Assistance Program, The Rand Corporation, 1975.

(3) Seefeldt, ESAP Community Group: An Evaluation, Washington, D.C.: Kirschner Associates, Inc., November 1972.

(4) Evaluation of the Emergency School Assistance Program, Bethesda, Maryland: Resource Management Corporation, 1971.

(5) Need to Improve Policies and Procedures for Approving Grants under the Emergency School Assistance Program, Washington, D.C.: General Accounting Office, 1971.

(6) Weaknesses in School Districts' Implementation of the Emergency School Assistance Program, Washington, D.C.: General Accounting Office, 1971.

(7) The Emergency School Assistance Program: An Evaluation, prepared by Washington Research Project and five other civil rights organizations, 1970.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Training and Advisory Services (Civil Rights Act of 1964, Title IV)

Legislation:	Expiration Date:
Title IV of the Civil Rights Act of 1964 (P.L. 88-352), as amended by the Education Amendments of 1972, P.L. 92-318	indefinite

Funding History:

Year	Authorization	Appropriation
1966	indefinite	$6,275,000
1967		6,535,000
1968		8,500,000
1969		9,250,000
1970		17,000,000
1971		16,000,000
1972		14,000,000
1973		21,700,000
1974		21,700,000
1975		26,700,000
1976		26,375,000
Transition Quarter		325,000
1977		34,700,000

Program Goals and Objectives

Title IV is designed to provide training and technical assistance related to problems incident to school desegregation. Desegregation is defined to include race, color, religion, sex, and national origin. Technical assistance is authorized "in the preparation, adoption, and implementation of plans for the desegregation of public schools." Technical assistance includes, among other activities, making information available regarding "effective methods of coping with special educational problems occasioned by desegregation." The law also provides for training of school personnel "to deal affectively with special educational problems occasioned by desegregation," and for grants to school boards for inservice training of school personnel and the employment of specialists in connection with desegregation. All of the above quotes are from the legislation.

Title IV assistance has been expanded to include assistance for problems highlighted in the Lau v. Nichols decision and problems incident to sex discrimination. In Lau, the U. S. Supreme Court ruled that affirmative steps must be taken by school districts where non-English speaking students, as a result of language deficiencies, do not effectively participate in the educational process. Title IV was expanded by Title IX of the Education Amendments of 1972 (P.L. 92-318) to include sex desegregation.

Program Operation

Race and sex desegregation technical assistance are provided under four categories of Title IV awards: General Assistance Centers (GACs), State Education Agencies (SEAs), Training Institutes (TIs), and direct grants to Local Education Agencies (LEAs). In addition, there are three specialized types of awards: (1) specialized Training Institutes for sex desegregation, (2) specialized General Assistance Centers for Lau-related problems, and (3) separate awards to State Education Agencies for Lau-related problems.

Proposals (also called applications) are sent to the Office of Education Regional Offices where each is reviewed by Office of Education staff. Non-government panelists assign each application a total numerical score (consisting of points for specific criteria that are added to produce a total score). The Regional Office transmits the ratings with their recommendations to the Office of Education in Washington where the lists of applicants and ratings from all regions are combined and ranked in numerical order. Within each category, awards are made from the highest score down until funds are exhausted (except for overlapping proposals such as two competing applications for GACs to serve the same area).*

The purposes of monitoring of Title IV projects, according to an Office of Education manual, are: to determine whether projects are being adequately implemented, to determine whether projects are in continuous compliance, to determine a course of action for any identified problems, and to provide a resource for planning and evaluation.

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* There are three exceptions to this process of regional application reviews. Applications for Lau-related General Assistance Centers are not reviewed regionally but are sent directly to and reviewed in the Office of Education in Washington. In FY 1977, in order to improve consistency in the rating of applications for Training Institutes and direct LEA awards, these proposals were brought by each Regional Office to a central location for review.

Program Scope

The following table presents data on Fiscal Year 1975 Title IV awards.

DATA ON TITLE IV AWARDS MADE IN FISCAL YEAR 1975

Category	Total Applications (1)	Total Awards (2)	Amount Awarded (thousands) (3)	Average Award (thousands) (4)
GAC-Race and Sex	38	26	$10,423	$401
SEA-Race and Sex	44	44	5,507	125
LEAs-Race and Sex	109	47	2,163	46
Training Institutes				
Race and Sex	93	17	2,514	148
Sex desegregation	17	11	1,092	99
GAC-Lau	22	9	3,750	417
SEA-Lau	18	13	1,250	96
TOTAL	341	167	$26,700	$160

The first two columns show that the greatest nationwide competition was for Race and Sex Training Institutes, where 17 of the 93 applications (18 percent) were funded. The least competition was for SEA Race and Sex awards, where all 44 applications were funded.

The last column shows that the average Title IV award was for approximately $160,000, with the average ranging from $46,000 for LEA grants to $417,000 for Lau GACs. A great deal of this variation is due to the amount of services and geographic area covered.

Only rough estimates of the relative allocations of funds to race, sex, and Lau-related assistance are available. Preliminary data from an ongoing evaluation of Title IV estimates that 26 percent of the GAC budgets are allocated to sex discrimination. An estimated 33 percent of SEA budgets and 42 percent of Race and Sex Training Institute budgets are allocated to sex discrimination assistance. All funds for specialized Sex Desegregation Training Institutes are used for sex discrimination assistance. No data on the relative allocation of resources to race and sex discrimination are available for direct grants to LEAs. An overall estimate is that roughly 53 percent of Title IV funds were allocated to race desegregation, 28 percent to sex discrimination, and 19 percent to Lau-related assistance.

Program Effectiveness and Progress

A new evaluation, Title IV of the Civil Rights Act of 1964: A Review of Program Operations, concludes that the major strength of the present Title IV program is that it permits assistance to school districts in varying stages of desegregation. A major need identified in the report by the Rand Corporation is for the Office of Education to provide more explicit federal substance to the program. The report also stated that Title IV lacks explicit goals and that it is too small a program to tolerate the burden of virtually an unrestricted mandate to serve the largest number of school districts in the largest number of ways. Another need identified is for the Office of Education to provide a clear definition of desegregation-related assistance--the policy goal of the Title IV legislation. The report suggests that as long as there is no intervention by USOE in the rulings of its differently-intentioned regional offices, we can expect that the present system will define practically every education-related activity as also being desegregation-related.

The study of Title IV assistance for racial desegregation is primarily based upon an analysis of mail questionnaires from 140 Title IV projects and site visits conducted at 40 projects and 74 school districts served by these Title IV projects. The data were collected before sex discrimination was included along with race desegregation as a responsibility of Title IV projects.

GACs often undertake complex activities such as developing new instructional techniques, training in the use of new methods and materials, developing curricula, helping districts assess needs and developing techniques for school-community interaction. More than any of the other types of Title IV projects, GACs have to function as organizations capable of delivering a wide range of training and technical assistance services to a large number of school districts. Given these complexities, it is not surprising that the statistical analysis found that several organizational characteristics were strongly related to the effectiveness of GACs but not the other types of Title IV projects. (Project effectiveness was measured with a series of rating scales completed by interviewers after they conducted site visits at the project and school districts served by the project. Ratings were made of the effectiveness or impact of a project on the policies, programs, personnel, institutional structure, and training aspects of the districts served by the project. Effectiveness ratings were correlated with other characteristics of projects (in this case, organizational characteristics) separately for GACs and the other categories of Title IV projects). Favorable GAC organizational characteristics include having a well-specified plan of project organization containing explicit schedules and milestones and a clear description of staff responsibilities. GACs with such detailed organization plans seemed better able not only to articulate but also to pursue specific desegregation-related goals.

The more effective GACs visited had a clear conception of the assistance process and were selective in choosing districts where they could anticipate a favorable impact in contrast with other GACs which attempted to provide substantial services to all districts requesting assistance. Also the evaluation found that GACs which did not operate independently from the institution in which they were affiliated (usually a college or university) undertook fewer desegregation-related activities and were less effective.

SEA Title IV units often help school districts write proposals for obtaining additional funds, develop and disseminate materials, interpret federal desegregation guidelines, and obtain statistical information to assist in identifying desegregation problems. SEAs also conduct the training and technical assistance activities listed earlier for GACs but do so less often than GACs. The evaluation found that SEA projects were generally effective in conducting activities related to information dissemination (including minority job recruitment). More complex SEA technical assistance activities were effective only in States where there is a commitment by the State to school desegregation both in terms of a clear State policy and specific goals and objectives for its enforcement. Two of the thirteen Title IV SEA units visited had such an operational commitment to desegregation and those were judged as the most effective by all measures of effectiveness that were used.

Training Institutes (TIs) tend to provide specialized activities relating to the training of school personnel. TIs essentially structure themselves to meet specific district needs. TIs can be effective if the district has a favorable desegregation environment but have no leverage and are not effective in less amenable districts.

Similarly, the success of direct grants to LEAs for advisory specialists to assist in school desegregation is dependent upon a favorable desegregation environment within the district. Without such a commitment the advisory specialist lacks influence to deal with desegregation issues.

Several problems were identified based upon visits conducted at seven of the ten USOE regional offices. First, gaps in procedures for standardizing the selection and training of panelists who review proposals for Title IV awards create management problems. Second, the lack of knowledge of the Title IV program shown by some panelists also suggests the need for testing panelists as part of the training process. Third, the exclusion of the judgments of regional office staff about the effectiveness of ongoing projects significantly weakens the proposal review process. Fourth, the procedure for assigning numerical ratings and ranking proposals leads regional offices to encourage an inflation of rating scores which is leading to an erosion of the rating process.

Specific recommendations are made for dealing with all of the issues raised in this summary.

Ongoing and Planned Evaluation Studies

A follow-up study is also being conducted by Rand to examine the impact on the Title IV program of combining race and sex desegregation services. Recall that (with the exception of the specialized sex desegregation Training Institutes and the specialized Lau-related assistance) most Title IV projects are now responsible for providing both race and sex desegregation assistance.

Sources of Evaluation Data:

1. Stephen Crocker, et. al., Title IV of the Civil Rights Act of 1964: Executive Summary, Santa Monica, California: The Rand Corporation, 1976.

2. Stephen Crocker, et. al., Title IV of the Civil Rights Act of 1964: A Review of Program Operations, Santa Monica, California: The Rand Corporation, 1976.

3. U.S. Commission on Civil Rights, Title IV and School Desegregation: A Study of a Neglected Federal Program, Washington, D.C.: U.S. Government Printing Office, 1973.

4. Race Relations Information Center, Title IV of the 1964 Civil Rights Act: A Program in Search of a Policy, Nashville, Tenn., 1970.

ANNUAL EVALUATION REPORT ON EDUCATIONAL PROGRAMS

Program Name:

Packaging and Dissemination[1]

Legislation:	Expiration Date:
Special Projects Act, Section 402, P.L. 93-380	June 30, 1978

Funding History	Year	Authorization	Appropriation
	1975	[2]	$ 1,400,000 [3]
	1976	[4]	1,400,000
	1977	[4]	10,000,000

Program Goals and Objectives:

The purpose of the Special Projects Act is: (1) to experiment with new educational and administrative methods, techniques, and practices; (2) to meet special or unique education needs or problems; and (3) to place special emphasis on national education priorities. To fulfill this purpose, the Commissioner is authorized to make contracts with public and private agencies, organizations, associations, institutions, and with individuals.

The purpose of this program is to disseminate information about exemplary educational approaches and products in a way that would accelerate the implementation of these successful approaches and projects in school districts throughout the country. The educational projects disseminated by this program have been developed and demonstrated in State and discretionary grant programs supported by the Office of Education. Through making these exemplary projects available to school districts in a way that facilitates their implementation by local school staff, improved educational programs for children should result.

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[1] This program was formerly named the Packaging and Field Testing and Program and until July 1,1975 was authorized by the Cooperative Research Act (P.L. 531 as amended).

[2] The Packaging and Field Testing Program in 1975 was under the authority of the Cooperative Research Act P.L. 531 and did not have a separate authorization.

[3] Figures do not include approximately $3.5 million of ESEA, Title III Section 306 funds for implementation of the projects via the packages.

[4] The Packaging and Dissemination Program is under the authority of the Special Projects Act P.L. 93-380 and does not have a separate authorization.

Program Operations:

Under this program, exemplary practices and projects are disseminated to adopter school districts and implementation guidance is provided by packaged materials called Project Information Packages.

There are several major activities involved in developing Project Information Packages for widespread dissemination. The first activity--identification of effective education projects--has been underway in OE for several years. For the first set of Project Information Packages developed, previous studies conducted by OE supplied a pool of candidate projects. Criteria were then established in order to select compensatory education projects for packaging and to validate their effectiveness. The criteria were defined as: (1) effectiveness in improving student achievement; (2) reasonable start-up and maintenance costs; (3) availability for and feasibility of packaging; and (4) evidence of replicability. Projects meeting these criteria and selected for packaging were also required to have approval for dissemination from the NIE/OE Joint Dissemination Review Panel (JDRP). Projects identified as exemplary by current OE studies and projects submitted to the JDRP for approval continue to provide a pool of candidate projects for future packaging.

The second activity--analysis and packaging of the management, resources, and instructional components essential to the success of projects--begins with an analysis of the validated projects at the school site operating the project. Through observing projects and interviewing participants, components and resources essential to their success with children are defined. The activity continues with the packaging of those components in the form of guides for the implementation of the validated project in other districts. The Project Information Package subsequently developed for each validated project includes a detailed description of the resource requirements for planning, school organization, facilities, staffing requirements, teacher training, instructional material and methodologies, budgets, information feedback, parent participation communication, schedules and milestones, project management, monitoring and evaluation.

The third activity is to field test each package at several school sites. The field test is important in determining the ease with which a project can be implemented elsewhere using the information provided in the package. The field test examines the effectiveness of the package itself in terms of accuracy in identifying essential components, quality of packaging, acceptability and ease of use to teachers, administrators, children and parents, and finally if funding permits, overall impact of the package in helping children increased their achievement.

The fourth activity --revision of each package based on the field test data--takes account of problems users have found while implementing the project via the information in the package. Given successful implementation of a project in the field test, revisions made in the packaged model on the basis of user feedback should further facilitate its implementation in new school sites.

The final step is to disseminate the revised packages via an established delivery system to school districts throughout the country. To accomplish this task, materials were developed to enable school district officials to learn about the projects that have been packaged for implementation and to decide if such a project might help meet local educational needs.

In mid-fiscal year 1976 these awareness materials called the Analysis and Selection Kit (or ASK) were distributed to ESEA Title I coordinators in each State Education Agency and State Facilitators participating in the National Diffusion Network for their distribution to interested school districts. Later in fiscal year 1976 eight contracts were awarded for the dissemination of the revised packages nationwide.

In FY 1977 the Project Information Packages will be disseminated via the National Diffusion Network (NDN), a national delivery system established in 1974 with the last two years of ESEA Title III funding. (See section on ESEA Title III in this report for more information about the NDN). While it was not expected that the NDN would continue after ESEA Title III became one of the consolidated programs under P.L. 93-380, late in FY 1976 Congress expressed its support for continuing the NDN in FY 1977 under the Special Act authority. In FY 1977 the Packaging and Field Testing Program under the Special Projects Act will become the Packaging and Dissemination Program, incorporating the NDN. It is expected that the packaging and dissemination efforts will operate harmoniously for the following reasons: (1) both efforts have the same general objective, (2) the Packaging Program needed a delivery system to get the packaged projects into the hands of school officials,and (3) the NDN recognizes the potential of having Developer/Demonstrators move toward packaging parts of their projects for export in order to reach a larger number of potential adopter school districts nationwide and to make the export of projects more cost effective--e.g. by reducing the amount of assistance needed from Developers in implementing the projects elsewhere.

Program Scope:

The effort was initiated with funds authorized under the General Education Provision Act, Section 411 and under Title III, Section 306 of the Elementary and Secondary Education Act. Six effective compensatory education projects were identified and packaged in FY 1974 and ESEA Title III Section 306 grants were awarded in FY 75 to 19 school sites, for the purpose of implementing one of the successful projects. Of the 19 Title III grants to school sites for the purpose of implementing the packaged projects, approximately 53 schools and 3,500 students were involved.

The projects were implemented in school year 1974-75 and a contract was awarded for the conduct of a field test evaluation to assess the process by which the districts implemented the projects via a Project Information Package (PIP). At the end of FY 1975, Title III grants were again awarded to the school districts participating in this effort for continuation of the projects during the 1975-76 school year.

With FY 1975 funds, under the Cooperative Research Act, the field test evaluation was continued in order to focus on assessing student achievement gains, a contract was awarded for the packaging of up to twelve more effective projects, a contract was awarded for the revision of the initial set of 6 PIPs, and following their revision, the PIPs were disseminated for implementation in the school year 1976-77, as described in the previous section.

Program Effectiveness and Progress

A two-year field tryout of the six PIPs in 19 project sites located in 17 school districts was initiated in July of 1974. The field test involved approximately 53 schools and 3500 children at the 19 sites. Sites participating in the field test received ESEA, Title III, Section 306 grants for the implementation of the projects via the PIPs. The emphasis of the first year of this effort (School Year 1974-75) was on monitoring the installation process and determining users attitudes toward the PIPs and the projects.

The results of the first year of the field test indicate that in spite of the difficulties encountered by school personnel in attempting to implement the PIP specifications for the start up stage which began late and off schedule, the project implementation was accomplished. In every site, with one exception, there was a PIP project (or projects) in operation by February of the first year. Moreover, the instructional programs were implemented as described in the PIPs and the projects were recognized as entities in their school districts. In addition, project directors and instructional staffs had developed considerable pride in and ownership of their projects. They were pleased with the instructional program and felt that improved student attitutes toward learning, and in some case, greater academic achievements had resulted. No dissent was heard from either parents of participants or from community groups. Results of the second year of the study will be available early in 1977.

While school districts were successful in installing the projects via the PIPs and results indicate that packaging is a viable approach, a number of revisions needed in the materials to further facilitate their implementation was identified. Nevertheless, results were sufficiently encouraging to initiate the revision and dissemination of the six packaged projects, the development of a second series of Project Information Packages a field test of four of these newly developed packages (bilingual projects), and a study to examine the process by which the six revised PIPs are disseminated and implemented.

Ongoing and Planned Evaluation Studies

1. Evaluation of the Field Test of Project Information Packages

The purpose of this two-year study which began in July 1974 is to evaluate the process by which packaged educational projects are implemented in order to determine the viability of disseminating exemplary projects for implementation by school districts via an exportable package. The evaluation is being conducted under contract with Stanford Research Institute. The first year of the evaluation has been completed. It focused on the installation and operation of the packaged educational approaches. The focus for the second year of the study (in process) is to determine the impact of the projects on student achievement and to explore the school districts intentions for continuing the projects after federal funding is withdrawn. Preliminary results were presented in the first year report 1975. The final report of the fied test evaluation is expected in the winter of 1977.

2. Evaluation of the Dissemination/Implementation of the Revised Project Information Packages - First Series

This study examines the dissemination and implementation of the six revised project information packages which are currently being disseminated through the Title I State coordinators, the Title III State facilitators, and through 8 dissemination contractors. The study is concerned with two aspects of the dissemination program: the effectiveness of the overall dissemination stragegy and the effectiveness of the resulting PIP implementations in local communities. Regarding the dissemination strategy, the extent to which the various dissemination units are able to obtain PIP adoptions will be examined in an attempt to identify those factors that appear to facilitate or inhibit adoptions by local communities. In addition, in a sample of local communities who have adopted one of the six projects, the study will examine the extent to which adopting LEA's follow PIP guidelines. The study will result in a series of recommendations for the improvement of the dissemination strategy, and for encouraging better implementation.

The study, being conducted by American Institutes for Research, began in the summer of 1976 and will continue for two years. Data collection will consist of on-site observations, interviews, and surveys of dissemination activities. It is anticipated that the study will be completed in December, 1978.

3. Field Test and Revision of Four Bilingual Education Project Information Packages - Second Series

The purpose of this two year study is to provide critical information on the problems in the actual installation of the projects via the Project Information Packages in order to revise them prior to their national dissemination. The field test effort in the 1977-78 school year will evaluate the implementation process and problems and suggest revision in the packaged products that would further facilitate their adoption and implementation. During the 1978-79 school year, the packages will be revised according to results from the previous year of the study. The study will begin in March 1977 and will be completed August 1979. and will be completed August 1979.

4. User/Preference Needs Study

It is planned that this study will identify the needs of local educators for information on exemplary projects in various areas. The study would provide the following kinds of information: (1) likely size of markets for packaged information about exemplary projects, (2) kinds of information which are most useful to school districts, (3) form the information should be in to be most useful to school districts, and (4) general receptivity of school districts to selecting and implementing new curricula.

In addition to surveying the education marketplace, the study will identify existing exemplary projects in various program areas that are immediately available to meet local needs. These programs will in turn serve as a resource pool from which future packages can be developed.

This study is expected to begin in May 1977 and to be completed July 1978.

5. Synthesis of the Findings of Dissemination Related Studies

The purpose of this study is to gain a clear understanding of what has been learned in the early federal attempts at dissemination in order to improve or better implement proposed dissemination activities and strategies. Accordingly, this study will synthesize the findings of previous and an going dissemination studies and upon that basis address the various policy relevant issues with which OE is faced might be more effectively disseminated for use in the nation's schools, taking into account user information needs, school district constraints, and roles and functions to be performed by federal, state, and local education agencies. This study is expected to begin in January 1977 and to be completed August 1977.

Sources of Evaluation of Data:

1. Horst, D.P., Piestrup, A.M., Foat, C.M. and Binkley, J.LI Evaluation of the Field Test of Project Information Packages: Vol.II - Recommendations for Revisions. Mountain View, California: RMC Research Corporation, 1976.
2. Piestrup, A.M., Design Considerations for Packaging Effective Approaches in Compensatory Education. Los Altos, California: RMC Research Corporation, 1974 (Report No. UR-241).
3. Stearns, M.S. Evaluation of the Field Test of Project Information Packages: Vol I - Viability of Packaging. Menlo Park, California: Stanford Research Institute, 1975.
4. Tallmadge, G.K., The Development of Project Information Packages for Effective Approaches in Compensatory Education. Los Altos, California: RMC Research Corporation, 1974 (Report No. UR-254).

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:	Assistance to States for State Equalization Plans
Legislation:	Section 842 of Title VII of the Educational Amendments of 1974 (P.L. 93-380)
Expiration Date:	September 30, 1978

Funding History:	Year	Authorization[1]	Appropriation
	1976		$ 0
	Transition Quarter		$ 3,000,000
	1977		$ 10,500,000

Program Goals and Objectives:

The program set up by Section 842 has two major purposes: (1) to reward those States which have enacted equitable and fair systems of school finance by offering reimbursement retroactively for expenditures associated with developing or administering the school finance equalization plans, and (2) to encourage States which have not acted to reform their school support systems by offering reimbursement for costs associated with developing new plans. Section 842 authorizes funds to reimburse States for costs incurred in the development or administration of a plan for equalization of State and local school finance programs. Such plans must be consistent with the provisions of the Fourteenth Amendment, and have as their primary purpose achievement of equality of opportunity for all children enrolled in schools in the State's local educational agencies.

Program Operations:

States are required to submit two documents to the Commissioner to apply for funds provided under the law. The States must submit either a developed plan of State aid or a proposal to develop such a plan. The second document which States must submit is an application for reimbursement. While States are encouraged to submit such an application along with their plan or proposal, they are not restricted to submission of one such application, but may submit multiple claims until the amount of their entitlement has been awarded. According to program regulations, the State plan to equalize expenditures is intended to be a "detailed description of the State's policies, programs, and operating procedures relating to the State's program and financial assistance to local educational agencies in that State." The State plan is further expected to meet certain guidelines as set up in the regulations associated with the law. While no State plan is required to meet all guidelines, a State plan must not reject the principles as characterized by the guidelines.

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[1] Section 842 contains no appropriation authorization as such. However, Congress has taken the position that the language of the Act constituted an obligation for the Federal Government to reimburse States for approved costs, and has appropriated the amounts as indicated.

The guidelines set forth for the purpose of constructing a State financial plan to equalize educational opportunity within the State suggest that:

(1) the plan allow expenditures per pupil to vary with varying costs of the educational needs of pupils, varying costs of educational programs, (e.g., special, vocational, or bilingual programs), varying capital and transportation costs;

(2) the plan not allow the wealth or the measurement of the wealth of local educational agencies to influence the resources expended by such agencies and the plan be financed by an equitable tax system;

(3) the plan encourage citizen interest in educational decision-making, encourage efficient allocation of educational resources and provide a means of evaluating its own progress.

If a State submits a proposal to develop a plan instead of a plan itself, the proposal is expected to address itself to the guidelines outlined above. As an example, studies described in the proposal should recognize weaknesses of the State's current financial system in meeting the guidelines if such weaknesses or violations of the guidelines exist. After the proposal has been funded, the State remains obligated to submit the plan to the Commissioner for approval or disapproval.

Before submitting the application for reimbursement to the Commissioner, the State agency must have solicited views of the financial plan from the State's Governor, local educational agencies, and other interested parties. The application itself must contain:

(1) Certification of the agency's authority.

(2) Detailed account of costs incurred or a schedule of reimbursements for costs to be incurred.

(3) Reasons why the plan rejects any of the guidelines.

(4) A description of how appropriate State agencies are involved in development and administration of the financial plan.

Once the State plan (or proposal) and application for reimbursement have been approved, the Commissioner determines the allocation of funds to be made. According to the rules and regulations, "The entitlement of each State shall be determined on the basis of a straight-line formula, such that the entitlement of the most populous State shall be $1,000,000, the entitlement of the least populous State shall be $100,000 and the entitlement of each other State shall fall between these amounts based on the ratio of that State's population to the population of the Nation as a whole." Subsequent sections of the Rules discuss the manner in which allocations shall be made if funds are insufficient to meet the quoted standard. A State's allocation will depend upon the total amount appropriated for the program and the number of States with approved applications. Consequently, a given State's grant will be equal to a fixed amount ($60,000 in the Transition Quarter), plus an amount proportional to the State's population.

Program Scope:

As of February 24,1977, 34 States had submitted applications for reimbursement under Section 842, with awards totaling $8,994,437. The table on page gives the entitlement, the amount of funds requested, the amount of funds awarded and the amount of remaining funds in the entitlement for each State.

Program Effectiveness and Progress:

As can be seen from the Table, more than half the States have made application for reimbursement. The vast majority of such States have submitted proposals to develop a plan rather than submitting a plan itself. Section 842 legislation and associated regulations seems to have stimulated States to begin to formulate State financial aid plans comprising conscious attempts to provide equality of educational opportunity.

Ongoing and Planned Evaluation Studies:

Because the program's operations began in the Transition Quarter, there are no on-going evaluation studies. Planned evaluation studies are still in the formative stage, but may take either or both of the following directions:

(1) A study to determine the extent of equalization achieved by the States which obtained reimbursement funds.

(2) A study to determine the extent to which the legislation provided the stimulus to States to develop State financial aid plans to obtain equity in educational opportunity.

SECTION 842 - Revised February 24, 1977

State	Entitlement	Amount Requested	Amount Awarded	Amount of Remaining Entitlement
Alabama	241,739	241,739	241,739	0
Alaska	100,000	100,000	100,000	0
Arizona	179,723	0	0	179,723
Arkansas	175,690			175,690
California	1,000,000	1,000,000	1,000,000	0
Colorado	195,281	195,275	195,275	0
Connecticut	220,307	0	0	0
Delaware	110,344	110,344	110,344	0
Florida	440,015	440,015	440,015	0
Georgia	298,802	293,709	293,709	5,093
Hawaii	122,484	0	0	122,484
Idaho	119,942	0	0	119,942
Illinois	574,171	336,942	336,942	237,229
Indiana	317,911	317,911	317,911	0
Iowa	210,270	210,270	210,270	0
Kansas	184,368	184,368	184,368	0
Kentucky	232,053	232,053	232,053	0
Louisiana	249,934	0	0	249,934
Maine	131,030	0	0	131,030
Maryland	264,266	0	0	264,266
Massachusetts	339,211	339,211	339,211	0
Michigan	484,631	484,631	484,631	0
Minnesota	256,203	256,203	256,203	0
Mississippi	187,349	187,349	187,349	0
Missouri	294,200	208,460	208,460	85,740
Montana	117,356	117,016	117,016	340
Nebraska	152,593	152,593	152,593	0
Nevada	110,212	0	0	110,212
New Hampshire	120,468	0	0	120,468
New Jersey	405,961	405,961	405,961	0
New Mexico	134,098	85,110	85,110	48,988
New York	878,379	878,379	878,379	0
North Carolina	320,628	320,628	320,628	0
North Dakota	112,929	112,929	112,929	0
Ohio	555,983	555,983	555,983	0

SECTION 842 - Revised February 24, 1977 (Continued)

State	Entitlement	Amount Requested	Amount Awarded	Amount of Remaining Entitlement
Oklahoma	202,557	202,557	202,557	0
Oregon	183,886	183,886	183,886	0
Pennsylvania	604,018	604,000	604,000	18
Rhode Island	126,165	126,165	126,165	0
South Carolina	206,677	0	0	206,677
South Dakota	114,902	114,902	114,902	0
Tennessee	266,896	0	0	266,896
Texas	611,731	611,731	0	611,731
Utah	136,728	136,728	136,728	0
Vermont	105,566	105,566	105,566	0
Virginia	300,249	0	0	300,249
Washington	238,189	238,189	238,189	0
West Virginia	163,243	0	0	163,243
Wisconsin	285,172	0	0	285,172
Wyoming	100,921	0	0	100,921
Total	13,485,431	9,575,667	8,994,437	4,490,994

G. EVALUATION OF POSTSECONDARY EDUCATION PROGRAMS

G. Evaluation of Postsecondary Education Programs

The overriding purpose of OE postsecondary education programs is to enhance educational opportunity. The principal Federal strategy in pursuit of these goals is to provide funds for student assistance, both directly to students and indirectly through states and institutions of postsecondary education with the assumptions that needy students should be aided first and that students will bear some of the responsibility of financing their education. Total obligations for these programs administered by OE in FY 1976 amounted to slightly more than $2.8 billion.

The principal forms of student assistance administered by the U.S. Office of Education are grant programs (BEOG, SEOG, SSIG) which provide non-returnable aid ($1,256 million in FY 1976); self-help programs (CWS, Coop Ed, GSLP, NDSL) which accounted for $1,305 million in FY 1976*; service programs (Talent Search, Upward Bound, Special Services to Disadvantaged Students, Educational Opportunity Centers along with Legal Training for Disadvantaged) aimed at recruiting, counseling, and tutoring disadvantaged students both prior to and once they are enrolled in postsecondary institution ($71 million in FY 1976); and finally institutional programs, primarily the Developing Institutions program, which accounted for $185 million in FY 1976.

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* This amount includes obligations only, actual loans made in FY 1976 under the Direct Loan and GSL Programs were in excess of $1,450 million.

The Impact of Student Assistance Programs

(1) Participation Rates

At the outset of this discussion it should be made clear that while participation rates are a readily available and commonly employed measure of how young people are accessing, choosing among and persisting in institutions of postsecondary education, they are not measures of the distribution of educational opportunity. Rather, they are measures of the results of young people's response to whatever educational and non-educational opportunities in fact exist. Differences in these rates by student or family characteristics (such as income, sex, ethnicity, or state of residence) should not by themselves be taken as evidence of a lack of opportunity or as evidence that student aid programs are not importantly impacting on educational opportunity.

Nonetheless, such rates do describe important features of the context in which the student aid programs operate.

Table I attempts to show where we are in access terms using participation rates based on preliminary tabulations of the high school class of 1974 surveyed in the spring of 1976.

Table I
Distribution of 1974 High School Graduates Currently or Ever Engaged in Postsecondary Study vs. Non-Study Activities in Spring 1976 by Family Income

	Activity											
Family Income	Percent Four-Year Inst.		Percent Two-Year Inst.		Percent Voc./Tech. or Other 1/		Percent Not Studying		Percent Total		Percent Studying All Inst. Types	
	Current	Ever	Current	Ever	Current	Ever	Current	Ever	Current	Ever	Current	Ever
$0 - 2,999	25.0	27.1	10.5	17.4	7.3	18.0	57.2	35.5	100	100	42.8	64.5
$3,000 - 5,999	21.0	25.5	15.7	22.6	5.1	14.2	58.2	37.7	100	100	41.8	62.3
$6,000 - 8,999	24.5	26.0	15.8	22.2	3.9	12.5	55.9	39.2	100	100	44.1	60.8
$9,000 - 11,999	25.2	29.8	17.8	27.4	4.3	10.7	52.7	32.2	100	100	47.3	67.8
$12,000 - 14,999	24.7	29.0	22.1	30.0	6.5	12.8	46.9	28.1	100	100	53.1	71.9
$15,000 - 19,999	34.5	39.8	22.3	26.8	4.4	10.1	42.1	24.0	100	100	57.9	76.0
$20,000 - 29,999	41.3	46.1	20.1	27.5	3.5	8.1	35.0	18.4	100	100	65.0	81.6
$30,000 or More	53.2	59.2	16.4	23.2	4.0	7.3	26.5	10.2	100	100	73.5	89.8
Income Unknown	26.5	31.4	17.7	25.2	4.4	10.8	51.4	32.7	100	100	48.6	67.3
Total	32.7	37.1	18.4	26.0	4.5	10.6	44.4	26.3	100	100	55.6	73.7

Source: Preliminary tabulations from Studies on the Impact of Student Financial Aid Programs, Study B: Impact of Student Aid and Labor Market Conditions on Access to Postsecondary Education, Institute for Demographic and Economic Studies, Inc., funded by Office of Planning, Budgeting, and Evaluation, Contract #300-75-0382.

1/ Other includes all other formal postsecondary training or schooling programs.

The data in Table I indicate that participation in postsecondary study activities varies markedly with the level of family income. This variation is apparent whether viewed in terms of currently-engaged (Spring 1976) or ever-engaged participation rates. The difference in current participation between the lowest and highest income group is over 30 percentage points. Figure 1 graphically displays the current participation rate data of Table I for all types on institutions and compares these data to the mean participation rate for all income classes. As can be seen, the relationship between income and participation is striking.

The data in Table I and in Figure 1 also indicate that the increasing proportions engaged in postsecondary study activities at higher income levels is principally a function of increases in the 4-year college going rates with income. For example, less than 25 percent of the lowest income groups attend 4-year institutions while over 50 percent of the highest income class falls into this category. These data also show a much higher probability that a low-income high school graduate will attend a vocational/technical type institution than is the probability that a high income student will attend an institution of this type. These general impressions with respect to choice of institutional type are also reflected in Table II which shows the distribution of students by income and institutional type and includes only those members of the survey who were currently (Spring 1976) or at some time after high school graduation engaged in some form of postsecondary study activity.

Data in Table III indicate that there is a somewhat greater probability that a low income student will fail to complete a postsecondary program once

Figure 1

Participation Rates by Income
of the Class of 1974
in Spring 1976

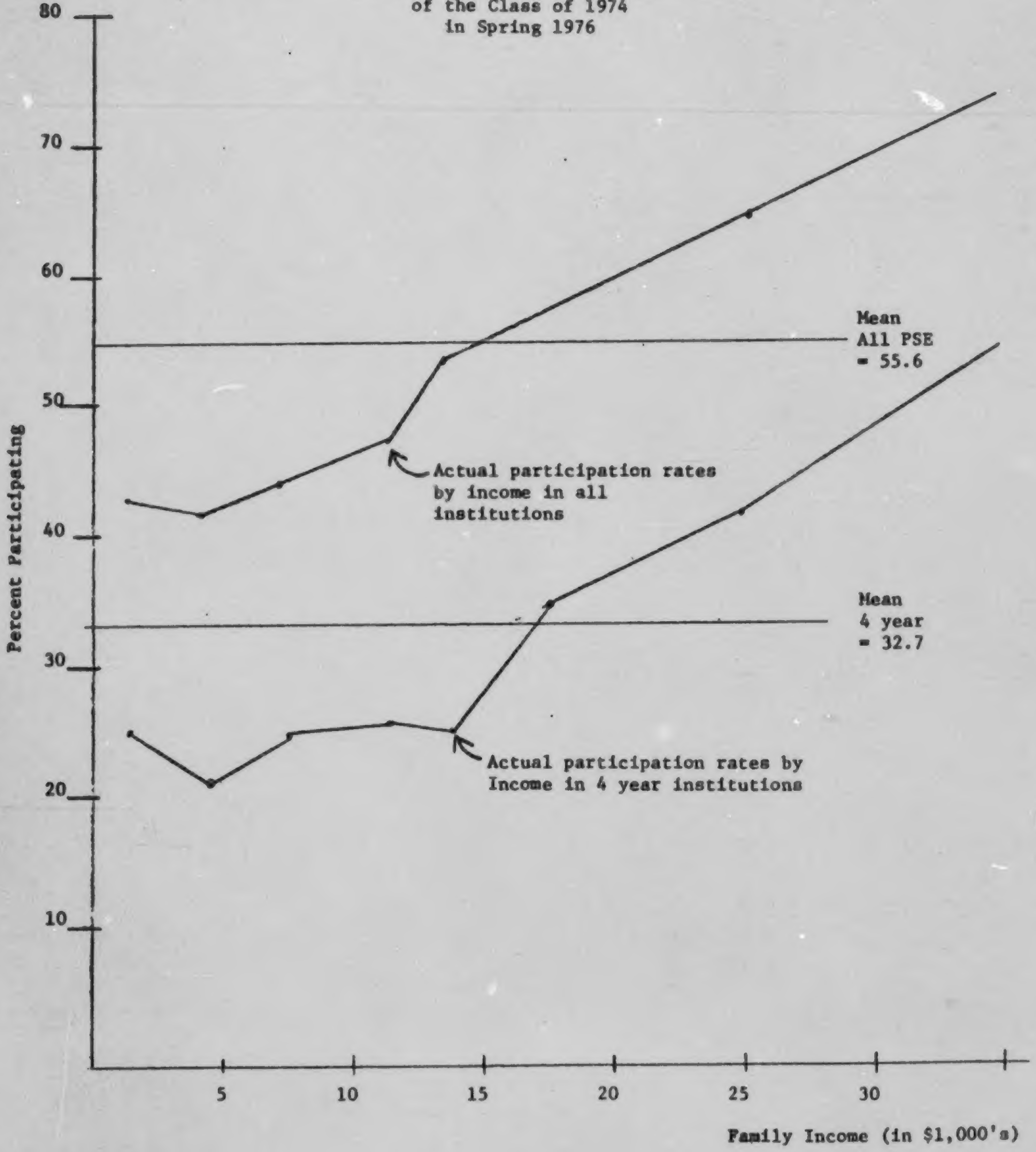

Table II
Distribution of 1974 High School Graduates Currently or Ever Engaged in Postsecondary Study Activities in Spring 1976 by Institutional Type and Family Income

	Institutional Type							
Family Income	Percent Four-Year Inst.		Percent Two-Year Inst.		Percent Voc./Tech. or Other 1/		Percent Total	
	Current	Ever	Current	Ever	Current	Ever	Current	Ever
$0 - 2,999	58.5	43.3	24.6	27.8	16.9	28.9	100	100
$3,000 - 5,999	50.4	40.9	37.6	36.4	11.3	22.7	100	100
$6,000 - 8,999	55.6	42.8	35.8	36.5	8.7	20.7	100	100
$9,000 - 11,999	53.2	43.9	37.7	40.4	9.1	15.7	100	100
$12,000 - 14,999	46.4	40.4	41.5	41.7	12.1	17.9	100	100
$15,000 - 19,999	59.5	51.5	33.0	35.2	7.6	13.3	100	100
$20,000 - 29,999	63.6	56.5	31.0	33.6	5.5	9.9	100	100
$30,000 or More	72.4	66.0	22.3	25.9	5.3	8.2	100	100
Income Unknown	54.5	46.6	36.5	37.4	9.0	16.0	100	100
Total	58.8	50.3	33.0	35.2	8.2	14.5	100	100

Source: Preliminary tabulations from Studies on the Impact of Student Financial Aid Programs, Study B: Impact of Student Aid and Labor Market Conditions on Access to Postsecondary Education, Institute for Demographic and Economic Studies, Inc., funded by Office of Planning, Budgeting, and Evaluation, Contract #300-75-0382.

1/ Other includes all other *formal* postsecondary training or schooling programs.

Table III

Dropout Rates 1/ of 1974 High School Graduates from First Postsecondary Program Attended as of Spring 1976 by Institutional Type and Family Income

	Institutional Type			
Family Income	Four-Year Inst. Percent	Two-Year Inst. Percent	Voc./Tech. and Other 2/ Percent	Total Percent
$0 - 5,999	10.6	23.2	19.2	16.6
$6,000 - 11,999	7.8	18.6	18.3	13.8
$12,000 - 14,999	9.4	16.4	8.5	12.2
$15,000 - 19,999	9.5	20.1	13.0	13.7
$20,000 - 29,999	7.0	18.0	16.0	11.6
$30,000 or More	6.6	16.9	7.0	9.3
Income Unknown	9.0	16.3	16.7	13.0
Total	8.1	18.4	14.5	12.5

Source: Preliminary tabulations from Studies on the Impact of Student Financial Aid Programs, Study B: Impact of Student Aid and Labor Market Conditions on Access to Postsecondary Education, Institute for Demographic and Economic Studies, Inc., funded by Office of Planning, Budgeting, and Evaluation, Contract #300-75-0382.

1/ A dropout is defined as a person who left before completing program and was not attending any program at the time surveyed.

2/ Other includes all other formal postsecondary training or schooling programs.

entered than will a student from the highest income class. A student from the lowest family income class has in general almost an 80 percent greater chance of dropping out than a student from the highest income class. It should be noted that this tendency is pronounced only in the extremes of family income. Thus, not only do participation rates vary by income rather dramatically initially, they have some tendency to worsen over time.

Another interesting feature of the dropout rate data in Table III, however, is the variation in retention by institutional type. Students entering 4-year institutions face a much lower probability of dropping out than do students entering all other institutional types. This is true for all income classes. Thus, it appears that part of the explanation of the relatively higher dropout rates of low-income students is the fact that they have a somewhat greater tendency to attend 2-year and vocational/technical institutions.

(2) Net Price

Equality of educational opportunity may also be viewed in terms of "net price", defined as college cost minus the sum of family contribution and grant aid. By this measure equality of opportunity exists when net price does not vary significantly by parental income for students attending schools of a given cost. If this condition obtains for all income levels and at each cost level, it indicates complete financial equality of opportunity to the extent that this measure represents one's concept of equal opportunity. Financial equality of opportunity will be partial if the condition holds only for some income and/or cost levels.

In a world of no student assistance, an important source of differences in net price by income level (given college costs) is the tendency for family contribution to increase with family income. By distributing grant aid so that it varies inversely with family income, student assistance programs can equalize student resources available to overcome the principal financial barrier to accessing postsecondary education. Office of Education need-based grant programs are explicitly designed to do this. As measured here, however, net price does not reflect the impact of public policy alone but the interaction of public policy and private parental decisions about how much they wish to contribute to the education of their children.

If the condition of equal net price by family income level holds for all college-cost levels not only will equality of access be achieved but (subject to the same reservations) equality of choice as well. In this situation students choosing higher cost colleges will face higher net prices--but net prices which will not differ significantly from the net prices faced by students of higher or lower family income. Within the constraint of limited resources Office of Education grant programs are also structured to achieve this end.

(3) Empirical Analysis of Net Price

Data for first-time, full-time students are available to determine the degree to which differences in financial barriers to educational access and choice have been removed. Unfortunately data are not readily available to determine if differences in net price affect participation rates, although a currently funded study is attempting to determine how many students do not attend college because of price. The analysis below focuses on equalization of opportunity for students currently enrolled.

Preliminary data from Phase II of Studies on the Impact of Student Financial Assistance, gathered in Fall 1975, show a remarkable consistency across income classes in the actual net prices paid by first-time, full-time postsecondary students for all institutional cost levels (see Table IV), if student estimates of actual family contribution are used. This is an interesting finding given the availability of aid and the diversity* of distribution methods used for these programs. For example, while all Office of Education grant programs are need-based, other Federal programs such as Veterans Educational Benefits, as well as many if not most of state and institutional programs, provide grant aid on bases other than need alone.

The consistency of net price is especially apparent up to an annual family income of $20,000. (Virtually all of Office of Education sponsored aid is targeted on students with family incomes below $20,000.) For any cost interval net price by income level at most differs by $243 and 4.7 percentage points and in all other cost intervals the difference is substantially less. The differences are greatest at the two lowest institutional cost levels ($0-2,000) where there is a distinct tendency for the two lowest income groups ($0-6,000 and

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* See studies cited in program description sheets for student aid programs that follow this section.

Table IV

Percentages and Amount of Total College Costs From Family Contribution and Nonreturnable Grant Aid Sources by Parental Income and Institutional Cost for First-time, Full-time Students in Fall 1975 and Calculated Net Price

Institutional Cost[1]	Parental Income													
	$0-6,000		$6,001-10,000		$10,001-15,000		$15,001-20,000		$20,001-30,000		$30,001 or more		Total	
	% TC-	Amount	% TC-	Amount	% TC-	Amount	% TC-	Amount	% TC-	Amount	% TC-	Amount	% TC-	Amount
Inst. Cost = $0-1,500														
Total Cost[2]	100	$2,123	100	$2,143	100	$2,164	100	$2,296	100	$2,327	100	$2,938	100	$2,353
Grant Aid[3]	50.8	1,078	38.4	825	20.6	446	11.6	267	7.0	176	4.2	124	18.3	430
Family Resources[4]	23.4	496	32.6	699	49.2	1,055	59.4	1,362	70.5	1,781	80.9	2,377	56.3	1,325
Σ Grant Aid + Fam. Res.	73.4	1,574	71.1	1,574	69.8	1,501	71.0	1,629	77.4	1,957	85.1	2,501	74.6	1,755
Net Price[5]	25.9	549	28.9	619	30.6	663	29.0	665	22.6	570	14.9	437	25.4	598
Inst. Cost = $1,501-2,000														
Total Cost	100	3,335	100	3,444	100	3,582	100	3,627	100	3,774	100	3,960	100	3,646
Grant Aid	53.3	1,779	44.7	1,540	31.5	1,128	21.9	796	10.9	410	4.7	188	24.4	889
Family Resources	16.9	564	22.6	763	34.0	1,217	44.6	1,618	60.9	2,300	82.0	3,247	47.1	1,718
Σ Grant Aid + Fam. Res.	70.3	2,343	67.3	2,303	65.5	2,345	66.6	2,414	71.8	2,710	86.7	3,435	71.5	2,607
Net Price	29.8	994	33.1	1,140	34.5	1,237	33.4	1,213	28.2	1,064	13.3	525	28.5	1,039
Inst. Cost = $2,001-2,500														
Total Cost	100	4,153	100	4,168	100	4,253	100	4,265	100	4,425	100	4,697	100	4,416
Grant Aid	51.0	2,118	45.2	1,885	32.4	1,377	23.1	[illegible]	13.8	611	3.2	150	21.1	932
Family Resources	20.4	849	25.1	1,045	36.8	1,567	48.0	2,039	66.4	2,938	86.1	4,046	55.2	2,437
Σ Grant Aid + Fam. Res.	71.4	2,967	70.3	2,930	69.2	2,944	71.1	3,019	80.2	3,549	89.3	4,196	76.3	3,369
Net Price	28.6	1,186	29.7	1,238	30.8	1,309	28.9	1,226	19.8	876	10.7	501	23.7	1,047
Inst. Cost = $2,501-3,000														
Total Cost	100	4,424	100	4,471	100	4,595	100	4,878	100	5,097	100	5,130	100	4,925
Grant Aid	48.4	2,141	40.7	1,821	31.7	1,456	23.8	1,161	13.6	695	3.6	184	17.0	837
Family Resources	23.5	1,041	26.7	1,192	38.5	1,767	48.2	2,350	66.1	3,368	86.7	4,450	63.2	3,110
Σ Grant Aid + Fam. Res.	71.9	3,182	69.6	3,013	70.1	3,223	72.0	3,511	79.7	4,063	90.3	4,624	80.1	3,947
Net Price	28.1	1,242	30.4	1,358	29.9	1,372	28.0	1,367	20.3	1,034	9.7	496	19.9	978
Inst. Cost = $3,001-4,000														
Total Cost	100	4,959	100	5,029	100	5,212	100	5,395	100	5,535	100	5,333	100	5,325
Grant Aid	52.2	2,589	47.6	2,396	35.6	1,906	27.3	1,473	13.7	756	3.6	194	18.1	964
Family Resources	17.8	883	21.4	1,074	35.0	1,824	43.7	2,356	63.6	3,523	85.4	4,553	61.8	3,290
Σ Grant Aid + Fam. Res.	70.0	3,472	69.0	3,470	71.6	3,730	71.0	3,829	77.3	4,279	89.2	4,757	80.0	4,254
Net Price	30.0	1,487	31.0	1,559	28.4	1,482	29.0	1,566	22.7	1,256	10.8	576	20.0	1,071
All Institutional Cost														
Total Cost	100	2,369	100	2,414	100	2,459	100	2,617	100	2,902	100	3,521	100	2,731
Grant Aid	50.9	1,205	39.9	962	23.6	580	14.8	388	8.7	253	4.0	141	18.8	513
Family Resources	22.2	525	30.4	733	45.3	1,115	55.8	1,459	68.6	1,990	82.9	2,920	55.8	1,524
Σ Grant Aid + Fam. Res.	73.0	1,730	70.2	1,695	68.9	1,695	70.6	1,847	77.3	2,243	86.9	3,061	74.6	2.037
Net Price	27.0	639	29.8	719	31.1	764	29.4	770	22.7	659	13.1	460	25.4	694

Footnotes:

[1] Institutional Cost is tuition and fees from HEGIS.
[2] Total is the sum of all student expenses. All amounts listed are in dollars.
[3] Grant aid is composed of BEOG, SEOG, State aid, local and private scholarships, Veterans benefits, and social security dependents benefits.
[4] Family resources are the sum of parents' contribution, spouses'contribution, and savings.
[5] Net price is total expenses minus the sum of grant aid and family resources.

Source: Preliminary tabulations from studies on the Impact of Student Financial Aid, Higher Education Research Institute, Los Angeles, Calif. Office of Planning, Budgeting and Evaluation Contract #300-75-0382.

$6,001-10,000) to face lower net prices than do students in the family income brackets $10,001-15,000 and $15,001-20,000. This is an important finding in that almost 90% of all students attend schools in this $0-2,000 institutional cost range (See Table V). However, this tendency for net price to rise with income over the four lowest income ranges may be in part and perhaps entirely a result of the attribution of family contributions and/or the fact that within an institutional cost range total costs tend to rise with income. For example, the largest difference ($243) in net price within the $0-20,000 income range is between students with family incomes of $0-6,000 and $10,001-$15,000 within the institutional cost range of $1,501-2,000. However, this $243 greater net price paid by the higher of these income groups is virtually identical to their $247 higher total costs. That higher income students tend to attend higher cost schools is borne out by enrollment data in Tables V and VI. In particular, notice in Table VI that 50 percent of the $0-6,000 income category attend two-year public institutions while only 42.6 of the $10,000-15,000 income group attends these institutions. Thus, the rise in net price with income within the $0-20,000 institutional cost range may be more apparent than real. It seems reasonable to suppose that a finer breakdown of the data by institutional cost would show even less variation in net price with family income.

In any event, whatever explains the relatively minor variations in net price with income, the reason for the more remarkable consistency in net price is clear--net price equals total expenses minus the sum of family contributions and grant aid, and family contributions are directly related to family income while grant aid varies inversely with income. These relations hold without exception for all expense and income levels.

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Table V
Enrollments of First-Time, Full-Time Students by Parental Income and Institutional Cost
Fall 1975

Parental Income	Institutional Cost $0-1,500			$1,501-2,000			$2,001-2,500			$2,501-3,000			$3,001-4,000			All Costs *		
	%	Amount	%	%	Amount	%	%	Amount	%	%	Amount	%	%	Amount	%	%	Amount	%
$0-6,000	85.0	111,210	(10.5)	9.5	12,470	(10.7)	2.9	3,750	(5.1)	2.0	2,580	(4.5)	0.6	770	(5.0)	100.0	130,790	(9.9)
$6,001-10,000	84.7	126,830	(11.9)	8.9	12,970	(11.2)	3.5	5,300	(7.1)	2.5	3,750	(6.5)	0.6	930	(6.2)	100.0	149,810	(11.3)
$10,001-15,000	83.9	284,310	(26.7)	8.6	29,130	(25.0)	4.1	13,980	(18.8)	2.7	9,270	(16.2)	0.7	2,210	(14.4)	100.0	338,900	(25.5)
$15,001-20,000	82.2	192,350	(18.1)	8.4	19,700	(16.9)	5.0	11,790	(15.9)	3.5	8,280	(14.4)	0.8	1,890	(12.3)	100.0	234,010	(17.6)
$20,001-30,000	79.7	212,090	(19.9)	8.2	21,910	(18.8)	6.3	16,650	(22.4)	4.7	12,600	(22.0)	1.1	2,990	(19.5)	100.0	266,240	(20.1)
$30,001 or More	66.1	137,370	(12.9)	9.7	20,160	(17.3)	11.0	22,750	(30.7)	10.0	20,850	(36.4)	3.1	6,530	(42.6)	100.0	207,670	(15.6)
All Incomes	80.2	1,064,170	(100.0)	8.8	116,350	(100.0)	5.6	74,230	(100.0)	4.3	57,340	(100.0)	1.2	15,340	(100.0)	100.0	1,327,420	(100.0)

NOTE: First percent is row percent and second percent in parentheses is column percent.

Source: Preliminary tabulations from Studies on the Impact of Student Financial Aid, Higher Education Research Institute, Los Angeles, California
Office of Planning, Budgeting, and Evaluation Contract #300-75-0382.

Table VI
Enrollments of First-Time, Full-Time, Students by Parental Income, Institutional Type/Control, and Race
Fall 1975

Parental Income and Race	Institutional Type and Control													
	Public						Private						Total	
	University		Four-Year		Two-Year		University		Four-Year		Two-Year			
	Amount	%	Amount	%	Amount	%	Amount	%	Amount	%	Amount	%	Amount	%
$0-6,000														
White	9,480	11.0	14,130	16.4	43,320	50.2	2,110	2.4	13,220	15.6	4,100	4.7	86,360	100
Black	3,010	5.5	17,860	32.5	23,020	41.9	630	1.1	8,740	15.9	1,620	3.0	54,880	100
Other	1,130	5.3	2,670	12.4	15,000	69.9	460	2.1	1,710	8.0	500	2.3	21,470	100
All Students	13,620	8.4	36,660	21.3	81,340	50.0	3,200	2.0	23,670	14.5	6,220	3.8	162,710	100
$6,001-10,000														
White	17,090	13.2	23,640	18.3	61,890	48.0	3,000	2.3	18,970	14.7	4,760	3.7	129,350	100
Black	2,690	9.5	10,390	36.6	8,710	30.7	630	2.2	5,160	18.2	770	2.7	28,350	100
Other	1.390	8.7	2,190	13.7	10,020	62.9	510	3.2	1,530	9.6	290	1.8	15,930	100
All Students	21,170	12.2	36,220	20.1	80,620	46.4	4,140	2.4	25,660	14.8	5,820	3.4	173,630	100
$10,001-15,000														
White	56,910	17.1	66,970	20.1	141,160	42.6	9,810	3.0	46,860	14.1	10,280	3.1	332,450	100
Black	2,800	11.9	8,210	35.0	6,490	27.7	810	3.5	4,540	19.4	600	2.6	23,450	100
Other	2,490	11.7	2,520	11.8	12,450	58.5	830	3.9	2,650	12.4	360	1.7	21,300	100
All Students	62,200	16.5	77,700	20.6	160,560	42.6	11,450	3.0	54,050	14.3	11,240	3.0	377,200	100
$15,001-20,00														
White	49,300	20.8	50,180	21.2	88,010	37.1	9,760	4.1	34,400	14.5	5,520	2.3	237,170	100
Black	1,420	13.7	3,240	31.3	3,020	29.2	440	4.3	2,080	20.1	140	1.4	10,340	100
Other	1,980	19.9	1,610	16.2	4,170	41.9	610	6.1	1,460	14.7	130	1.3	9,960	100
All Students	52,700	20.5	55,030	21.4	95,200	37.0	10,810	4.2	37,940	14.7	5,790	2.2	257,470	100
$20,001-30,000														
White	66,930	24.5	58,710	21.6	83,530	30.8	15,610	5.7	40,530	14.9	6,300	2.3	271,610	100
Black	1,330	15.0	2,810	31.7	2,170	24.5	460	5.2	1,970	22.2	130	1.5	8,870	100
Other	2,040	19.5	1,680	16.1	4,300	41.2	740	7.0	1,550	14.8	130	1.2	10,440	100
All Students	70,300	24.2	63,200	21.7	90,000	30.9	16,810	5.8	44,050	15.1	6,560	2.3	290,920	100
$30,001 or More														
White	54,170	26.1	34,800	16.7	42,740	20.6	24,910	12.0	46,280	22.3	4,870	2.3	207,770	100
Black	6,000	14.7	950	23.3	1,080	26.5	390	9.6	990	24.3	60	1.5	4,070	100
Other	1,400	20.3	860	12.5	2,020	29.3	1,070	15.5	1,420	20.6	130	1.9	6,900	100
All Students	56,170	25.7	36,610	16.7	45,840	21.0	26,370	12.1	48,690	22.3	5,060	2.3	218,740	100
All Income and All Races	276,160	18.7	303,420	20.5	553,650	37.4	72,780	4.9	234,060	15.8	40,690	2.7	1,480,670	100

Source: Preliminary tabulations from studies on the Impact of Student Financial Aid, Higher Education Research Institute, Los Angeles, California Office of Planning, Budgeting, and Evaluation Contract #300-75-0382.

While net prices appear to be equalized, given equal institutional costs, for students from families in the less-than-$20,000 income group, there are still substantial differences between the lower (less-than-$20,000) and the higher ($20,000-or-greater) income groups. The percentage decline in net price between the $15,000-20,000 family income group and the greater-than-$30,000 income class ranges from 34.3 percent within the lowest institutional cost category to 63.7 percent in the next to highest institutional cost classification with a weighted average drop of 40.3 percent. These large declines in net price with income over the greater-than-$15,000 income range are principally a result of the fact that this income group is virtually untouched by need-based grant aid so that the large increases in family resources with income are not offset by grant aid for the lower part of the income range.*

Another important difference which stands out when comparing the highest income group with the others is that from the student's viewpoint, college choice can be made on almost a wholly nonfinancial basis by students with family incomes of more than $30,000. Net price for this income group ranges from $437 in the $0-1,500 institutional cost category to $576 (a 24.1% increase) in the $3,000-4,000 category. This stands in sharp contrast to all other income categories where the percentage increase from the $0-1,500 institutional cost category to the $3,000-4,000 cost category ranges from 120 to 171 percent and in absolute amount from $686 to $940.

In spite of the fact that substantial differences persist between net prices at higher and lower family income levels and among higher and lower cost institutions, it is nonetheless apparent from these data that Office of Education grant aid programs available in FY 1976 have been quite successful in equalizing net price to students currently enrolled in schools of similar cost up to an income level of $20,000. In the absence of the two largest Office of Education grant programs (BEOG and SEOG) and assuming all other sources of non-returnable grant aid remain unchanged in amount and distribution, net price would vary substantially by income as is indicated in Table VII. A decline in net price with income occurs without exception within all cost levels and by very large relative and absolute amounts. Thus, it is clear that Office of Education grant programs have made a major contribution toward equalizing financial barriers to accessing and choosing among institutions of postsecondary education.

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* The above results on the consistency of net price (given college cost) for the lower and middle income ranges is consistent with data from the National Longitudinal Study of the High School class of 1972 published in the FY 1975 Annual Evaluation Report of OPBE.

The data in Table IV showing the consistency of net price across income categories also suggest that factors other than financial barriers contribute to differences in participation rates among income classes. Thus, given the aid programs available in FY 1976 to most lower-income students, it seems clear that the problem of accessing postsecondary education may not be purely financial; in fact, an argument can be made that nonfinancial barriers may be more important. What the problem is (if, indeed, there is a problem) remains a matter of debate.

Table VII
Adjusted Net Price by Parental Income and Institutional Cost in the Absence of BEOGP and SEOGP

Parental Income

Cost and Net Price	$0 - 6,000		$6,001 - 10,000		$10,001 - 15,000		$15,001 - 20,000		$20,001 - 30,000		30,000 or More	
	% TC	Amt	% TC	Amt	% TC	Amt	% TC	Amt	% TC	Amt	% TC	Amt
Cost: $0-1,500												
Adjusted Net Price 1/	56.7	1,202	49.1	1,052	38.5	832	32.1	737	28.3	714	15.8	464
Cost: $1,501-2,000												
Adjusted Net Price	58.9	1,962	55.1	1,897	45.7	1,636	39.5	1,431	18.5	699	12.1	479
Cost: $2,001-2,500												
Adjusted Net Price	50.5	2,099	48.1	2,003	40.2	1,709	34.6	1,470	22.6	999	11.3	530
Cost: $2,500-3,000												
Adjusted Net Price	47.9	2,120	45.3	2,027	38.6	1,772	33.0	1,611	22.7	1,157	10.2	525
Cost: $3,001-4,000												
Adjusted Net Price	49.6	2,460	46.7	2,348	36.8	1,919	33.2	1,789	25.3	1,400	11.3	603

Source: Preliminary tabulations from studies on the Impact of Student Financial Aid, Higher Education Research Institute, Los Angeles, California Office of Planning, Budgeting, and Evaluation Contract #300-75-0382.

1/ NOTE: Adjusted price equals total cost minus the sum of Family Contribution and Grant Aid exclusive of BEOG's and SEOG's in dollars.

In summary the data presented above exhibit a number of interesting characteristics with respect to the distribution of educational opportunity and how students respond to those opportunities. The financial aspect of educational opportunity is expressed above in terms of prices faced by first-time full-time students net of non-returnable aid in the form of family contributions and grants. Within institutional cost ranges these "net prices" are more or less equal for all family income levels through $20,000 in 1975. Beyond this income level net prices fall dramatically as family contribution becomes ever more dominant in the net price calculation. The equalization of net price which occurs with the presence of the major Office of Education grant programs stands in sharp contrast with that which would occur in the absence of these programs. If Basic and Supplemental Educational Opportunity grants are left out of the calculation and other aid remains unchanged in amount and distribution, net price falls by large absolute and relative amounts with family income leaving educational opportunity substantially mal-distributed. Thus it appears that the principal Office of Education grant programs have an important impact on equalizing educational opportunities along an income dimension.

In spite of the fact that educational opportunity in net price terms does not vary substantially by income where cost is considered, for a huge majority of the first-time full-time student population there are still surprisingly large differences in college-going rates along a family income dimension. In general low income students are much less likely to be engaged in a postsecondary educational activity than are their higher income counterparts. Most of this general variation appears to be explained by the strong direct association of four-year college-going rates with income. The latter also apparently contributes to an explanation of dropout rates which are significantly higher for lower than for higher income students. Students at four-year institutions are more likely to remain in school than are students at two-year and vocational/technical schools. The systematic variation in participation and persistence rates with parental income does not appear to be related to any systematic variation in net price with income.

The Impact of Special Programs for Students from Disadvantaged Backgrounds

While student grant aid and self-help programs can be judged in terms of their impact on equalizing financial barriers to obtaining an education at schools of varying cost and students of varying incomes, other Federal programs are aimed at removing nonfinancial barriers to access and persistence. The target groups for these programs are disadvantaged young people with academic promise who lack adequate academic preparation or who are insufficiently motivated. The programs attempt to identify these young people and provide them with financial aid information, counseling, and tutorial assistance, to encourage them to enter and to persist in postsecondary education. Present programs focus on students both at the pre-college and college levels. Current funding levels allow for serving 5% to 10% of the potential clients.

Analysis of data from a recent study of high school completion and postsecondary education entry for the Upward Bound participants and a similar, but non-participating, comparison group of students reveals the following outcomes:

(1) There was no significant difference in high school completion for the two groups, with both having about 70 percent probability of high school graduation;

(2) There were large positive differences in favor of Upward Bound (UB) in entry to postsecondary education

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See Program Description Sheet for detailed discussion of the Upward Bound, Talent Search, Special Services, and Educational Opportunity Centers Program.

with about 71 percent of the UB high school graduates in 1974 enrolling in postsecondary education versus about 47 percent of the comparison group.

(3) The probability of both high-school completion and postsecondary entry shows sharp differences between the UB and comparison groups, and among the UB students depending upon length of time in Upward Bound. Although the comparison groups of students showed a 32 percent probability of high school completion and postsecondary entry, UB participants who entered UB in grade 10 (or earlier), grade 11, and grade 12 showed probabilities of high school completion and postsecondary entry of 60 percent, 53 percent, and 47 percent respectively.

(4) The average federal cost per UB placement in postsecondary education was $3,054, and the net cost (subtracting the proportion of the comparison groups who entered postsecondary education without the aid of UB) was about $7,400.

An assessment of the performance and retention of these two groups of students in postsecondary education began in October 1976, and will be completed in mid-1977.

At the postsecondary level, the empirical findings of the Study of the Special Services for Disadvantaged Students (SSDS) Program show that institutions that have such programs exhibit neither a positive nor a negative impact on disadvantaged students as a whole. Historically the most reliable pre-college predictor of later academic success has traditionally been previous academic performance. No evidence was found that participation in the type of support services found in the SSDS systematically improves performance or satisfaction with college over that which may be expected from past performance.

The recently completed descriptive study of the Talent Search (TS) Program showed that the program served about 109,000 clients in program year 1973-74, with about 80 percent of the clients applying for postsecondary education. Three-quarters of the applicants were accepted by postsecondary educational institutions, at least 26 percent were reported by the Talent Search projects to have enrolled, and about three-fourths of the reported enrollees were verified by the study as having done so. In spring 1974, three-fourths of the verified enrollees were still enrolled.

On June 30, 1975, the Educational Opportunity Centers Program completed its first year of operation. The twelve funded centers provided various forms of counseling and remedial or tutorial education assistance to 32,000 participants. About 14,000 participants were enrolled in postsecondary schools, and more than 4,000 additional participants had been accepted by a postsecondary institution but had not yet begun their studies.

The recently completed studies of the Special Programs for Students from Disadvantaged Backgrounds noted above, while showing some evidence of program success, have also revealed a need to improve program impact. Work is underway to design, implement, and rigorously evaluate a series of alternative compensatory education techniques, or models. This project comprises two years for design, field-site selection, and training.

Beginning in September, 1978, there will be a three year field trial of the models with impact data extracted annually for evaluation, and results reported annually. There will also be a final year of data synthesis and analysis with results reported for the whole project. The results will be applied to the existing Special Programs and will also furnish tested models to state and local education agencies and postsecondary educational institutions for use in their own efforts with disadvantaged students in high school and college.

The Impact of Institutional Assistance Programs

Student aid programs provide funds directly to students, and thus, effectively reduce the net price to students. This can have the effect of increasing the enrollment in postsecondary education to the degree that the enrollment decision is based upon, or is sensitive to, net price. The Office of Education also administers other programs that grants funds directly to the institution. These programs effectively help the institution hold constant, in a period of rising costs, or reduce the net price (tuition) to students by reducing the net cost of instruction.

Federal institutional aid programs administered by the U.S. Office of Education make up less than 10 percent of the total OE budget; however, HEA Title III, the Developing Institutions Program, accounts for two-thirds of this total. This program is intended to affect both the short- and long-term viability of participating institutions both by promoting detailed institutional program planning, and by providing resources to help the institution finance these programs. If an institutional subsidy, such as HEA Title III has the effect of reducing net price, the impact of the program can be measured not only in how effective it has been in the enhancement of institutional viability, but in terms of access, choice and persistence. In this regard, HEA Title III program funding criteria include as a key factor the relative number of disadvantaged students the institution serves. Thus, the program can be said to be on target if the relative number of disadvantaged served in developing institutions exceeds those in the student population as a whole in all cases. Program information suggests this is in fact the case.

Further, (and program information again suggests this is the case) since few participating institutions have closed since the inception of the program, it can also be said that the choice goal appears to have been enhanced in part by this program. This follows since the absence of these institutions in all probability would reduce the postsecondary education opportunities or choice for a number of those students currently enrolled in these institutions.

However, little can be said with regard to the final and perhaps most important goal, persistence, since comparative data adjusted for student type, program, program quality, and achievement over a four-or-five year period is not currently available.

Finally, evidence available indicates that there is little difference in the resources available in participating and similar non-participating HEA Title III institutions of a similar nature. Further, when participating public and private institutions are compared with public institutions in the higher education community as a whole, the latter appear to be more efficient in a labor-to-capital (or physical plant) sense. This suggests that while participating Title III institutions are less efficient in an economic sense, non-economic factors are also of importance in the administration of the program.

While these comments refer primarily to the HEA Title III Program, other OE-administered institutional aid programs which effectively reduce net price obviously will have a similar impact on access and choice. These programs also have specific purposes which also can be measured. Summary comments on each are covered in the specific program evaluation summaries below.

School Eligibility and Agency Evaluation

With the advent of direct federal aid to students, it became necessary for the administrating agency to make certain that students receiving federal aid would obtain a quality educational experience. The Office of Education, in particular, was given the responsibility of certifying public and private agencies which accredit postsecondary institutions wishing to participate not only in the student assistance programs but also in direct institutional assistance programs. Recent publicity on recruiting practices and GSLP loan defaults has reinforced the need for the enhancement of these activities, not only at the Federal but also at the State level. Studies have been conducted, and others are underway, which will provide information not only on what is happening but also methods for overcoming some of the problems. Further, detail is provided on the studies below in the section on Eligibility and Agency Evaluation.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Basic Educational Opportunity Grant Program

Legislation:	**Expiration Date:**
Education Amendments of 1972, Title IV; Public Law 92-318, 86 Stat., 248-251; as amended Public Law 94-482.	September 30, 1979

Funding History:	Year	Authorization	Appropriation
	1973	(Such sums as	$122,100,000
	1974	may be necessary	475,000,000
	1975	"	660,000,000
	1976	"	1,325,800,000
	1977	")	Deferred

Program Goals and Objectives:

The Basic Educational Opportunity Grant Program is a source of Federal student financial aid which became available to eligible students for the first time during the 1973-74 academic year. The purpose of the Basic Grant Program is to provide eligible students with a "floor" of financial aid to help them defray the costs of postsecondary education. Student eligibility is primarily based on financial need determined on the basis of a formula developed by the Office of Education and reviewed by Congress annually and is applied uniformly to all applicants. The result of applying this formula is called the student's eligibility index and is used solely for purposes of determining the amount of a student's Basic Grant award. Eligibility for Basic Grants is determined on the basis of financial need and that there is no scholastic determination made.

Program Operation:

(a) Student Eligibility

Basic Grant assistance is available to all eligible undergraduate students who are enrolled in an eligible institution on at least a half-time basis. Participating institutions include colleges and universities, as well as postsecondary vocational, technical and proprietary institutions who meet Federal eligibility requirements. A student may enroll and receive his Basic Grant award at the eligible institution of his choice. Eligibility is limited to four years of undergraduate study, but may be extended to five years under special circumstances specified by law.

(b) Family Contribution Schedule

The law requires the Commissioner to submit to Congress each year for approval a schedule indicating the formula for determining the Expected Family Contribution. This is the amount a family can be expected to contribute to a student's postsecondary education. The formula takes into account such indicators of family financial strength as parental income, assets, family size, number of family members in postsecondary education, and the special educational benefits a student receives. A separate formula is used for dependent and independent students.

(c) Calculation of Awards at Full Funding

The law provides that at full funding a student's Basic Grant entitlement be equal to $1,400 minus expected family contribution. The Education Amendments of 1976 stipulates that the maximum award in 1978-79 academic year be changed to $1,800 while the minimum award remains unchanged. There is a further limitation that payments cannot exceed one-half the actual cost of attendance, which includes tuition and fees, books and supplies, room and board, and a personal allowance. The minimum award at full funding is $200.

(d) Calculation of Awards at less than Full Funding

In the event that sufficient funds are not available to fully fund all entitlements, student grants must be reduced in accordance with the following provision:

If $1,400 minus expected family contribution is:

More than $1,000	Pay 75% of the amount
$801 to $1,000	Pay 70% of the amount
$601 to $800	Pay 65% of the amount
$200 to $600	Pay 50% of the amount

In addition no award may exceed half of cost minus expected family contribution. The minimum award is $50 at less than full funding.

If sufficient funds are not available to meet awards determined by the above reduction schedule, all awards are further reduced by a constant prorata factor.

Program Scope:

Preliminary data for academic year 1975-76 indicate that out of a total of 2,178,696 valid applications, 1,455,187 qualified for Basic Grants. Of the qualifying applicants 1,268,300 (87.2%) received average awards of $775. Dependent students constituted 73.2 percent of qualified applicants in academic year 1975-76 while the remainder (26.8%) were independent applicants. In this academic year 6,238 institutions were eligible under the BEOG program.

The Basic Grant appropriation for the 1973-74 academic year was $122.1 million and eligibility was restricted to students who began their education after July 1, 1973 and who were enrolling on a full-time basis. Awards for 1973-74 ranged from $50-$452. During the second year of operations (1974-75), appropriations were $475 million and award levels ranged from $50-$1,050. Eligibility was expanded to include a second class of students who began their postsecondary education after April 1, 1973 and who were enrolling on a full-time basis. During the third year of operations (1975-76), $1 billion was available and award levels ranged from $200 to $1,400. Eligibility was expanded further to include third year undergraduate students who began their postsecondary education after April 1, 1973 and who were enrolling on at least a half-time basis.

For the 1976-77 academic year, the Basic Grant appropriation language no longer specifies that eligibility be restricted to those students "who began or will begin their postsecondary education after April 1, 1973". Basic Grants will be available to all eligible undergraduate students who will be enrolling on at least a half-time basis between July 1, 1976 and June 30, 1977.

In addition to the above expansion of eligibility, Congress approved for the 1975-76 academic year changes in the Family Contribution Schedules liberalizing the treatment of assets, effective income, family size offsets, and independent students. These changes were based on program experience and were designed to improve the equity of the program.

As a result of changes in eligibility, the movement to full-funding, and changes in the Family Contribution Schedules, the Basic Grant Program grew dramatically over the 1973-75 period both in terms of numbers of students served and in average awards. The number of BEOG recipients increased from 185,249 in the 1973-74 academic year to 1,268,300 in the 1975-76 academic year (585%) while the average award grew from $269 to $775 (188%).

Perhaps more interesting than the overall growth of the BEOG Program is the changing composition of qualifying applicants in terms of income and dependency status. Over the three years of operation of the Basic Grant Program the number of eligible independent applicants has increased from

35,803 in 1973-74 to 433,251 in 1975-76 (or by a factor of approximately 12). As a percentage of all eligible applicants independent applicants have increased their share of total qualifying applicants from 12.3 percent in 1973-74 to 26.8 percent in 1975-76. These changes have had important consequences for the overall income distribution of eligibles which if reflected in the income distribution of participants (which is presumably the case) has substantial budgetary implications. The percentage of all applicants with family income under $3,000 increased from 25.6 percent in 1973-74 to 29.7 percent in 1975-76. This change occurred in spite of the fact that dependent eligibles in the $0-2,999 income class declined over this period from 17.0 percent to 12.2 percent of all qualifying applicants. While total program expenditures data (and/or average awards) by dependency status are not available it is likely that the increase in the ratio of independent to total eligible understates the increase in the share of total BEOG expenditures received by independent students. This is so because these students are disproportionately represented in the lowest family income classes.

Program Effectiveness and Progress:

Basic Grant Program data and recent Higher Education Panel (HEP) Survey results for the 1974-75 academic year indicate that the BEOG program is generally working in the direction of equality of access and choice with respect to the student characteristics of income, sex, and minority status. 1/ Although 1974-75 program data does not include information regarding applicant sex and race, the HEP Survey indicates that the percentage distribution by sex of BEOG recipients in all institutions is such that females are substantially more likely to receive a BEOG than males. Survey results show that Basic Grant recipients were 54.5% female and 45.5% male. This closely agrees with 1973-74 program data in which 56.1% of qualified applicants were female and 43.9% were male. These percentages are almost exactly opposite the percentage distribution by sex of total enrollment in the latest NCES data. However, the percentage distribution by sex of all BEOG recipients masks some underlying differences by type and control. While females definitely dominate the percentage distributions in the public sector at two- and four-year institutions, the proportions of male and female BEOG recipients at public universities are virtually identical. In the private sector, on the other hand, males tend to dominate the sex distribution of BEOG recipients at two-year institutions (52.1%) and at universities (55.2%), while 54.7 percent of BEOG recipients at private four-year colleges were female. In all cases, however, females are represented among BEOG grant recipients in greater proportion than their representation in total enrollment in each type of institution either public or private.

1/ The HEP Survey did not include proprietary or public vocational schools.

In terms of minority versus non-minority status, the distribution of BEOG's is heavily in favor of minority students--the percentage of minority students receiving grants (48.1%) is far greater than their percentage in the total population and in their percentage of total postsecondary education enrollment.

The following table shows the percentage distributions of eligible BEOG applicants by income and dependency status. As can be seen from the table, 58.1% of qualified dependent applicants in 1974-75 came from families with incomes of $7,500 or less, and 77.5% had incomes of $10,000 or less. Of those classified as independent students, 96.3% had incomes of $7,500 or less.

Table 1
Percentage Distribution by Income Class of
Applicants Qualifying for BEOG Awards
1974-75

Income	Dependent	Independent	Total
$ 0- 4,000	28.8	74.1	38.7
4,000- 7,500	29.3	22.2	27.8
7,501-10,000	19.4	3.3	15.9
10,001-12,000	11.6	0.3	9.1
12,001-15,000	8.6	0.1	6.7
15,000+	2.3	0	1.8
TOTAL	100.0	100.0	100.0

The above data should be interpreted with caution because sex and income distributions of qualifying BEOG applicants may not be representative of those applicants who actually exercised their option to receive BEOG awards.

It is apparent from Table 2 that the BEOG program contributes substantially to equality of access and choice. The Basic Grant averaged across all first-time, full-time students varies inversely with income and has an important impact in offsetting the greater family contributions available to students from families of higher incomes. As was pointed out earlier with the principal need-based grant programs of the Office of Education, the calculated loan-work burden for schools of a given cost would vary dramatically by income level so that lower income students would face substantially greater financial barriers to both access and choice. With Basic Grants those financial barriers are virtually the same for schools in the same institutional cost range up through a family income level of about $20,000. This holds for all institutional cost levels.

Table 2
Percentage and Amount of Total College Costs from Nonreturnable Grant Aid Sources by Parental Income and Institutional Cost for First-Time, Full-Time, Students
Fall 1975

Institutional Cost and Source	Parental Income																	
	$0-6,000			$6,001-10,000			$10,001-15,000			$15,001-20,000			$20,001-30,000			$30,001 or More		
	Amount	% TG	% TC	Amount	% TG	% TC	Amount	% TG	% TC	Amount	% TG	% TC	Amount	% TG	% TC	Amount	% TG	% TC
Cost: $0 - 1,500			(2,123)			(2,143)			(2,164)			(2,294)			(2,527)			(2,938)
BEOG	567	60.6	25.7	375	51.9	17.5	143	35.9	6.6	60	24.2	2.6	29	19.0	1.2	20	19.8	0.7
SEOG	86	9.2	4.0	58	8.0	2.7	26	6.5	1.2	12	4.8	0.5	5	3.3	0.2	4	4.0	0.1
State, Local, and Private Scholarship	215	23.0	10.1	220	30.4	10.3	177	44.5	8.2	141	56.9	6.2	95	62.1	3.8	55	54.5	1.9
Veterans Benefits	68	7.2	3.2	69	9.6	3.2	52	13.1	2.4	35	14.1	1.5	24	15.7	1.0	22	21.8	0.8
Total Grants	936			722			398			248			153			101		
Cost: $1,501 - 2,000			(3,337)			(3,443)			(3,528)			(3,627)			(3,774)			(3,960)
BEOG	784	43.4	23.5	389	38.7	17.1	295	26.6	8.2	167	21.3	4.6	104	20.8	2.8	33	17.6	0.8
SEOG	184	10.2	5.5	168	11.0	4.9	104	9.4	2.9	51	6.5	1.4	25	5.0	0.7	9	4.8	0.2
State, Local, and Private Scholarship	633	35.1	19.0	648	42.5	18.8	631	56.9	17.6	519	66.3	14.3	330	66.0	8.7	120	64.2	3.0
Veterans Benefits	167	9.3	5.0	119	7.8	3.4	79	7.1	2.2	46	5.9	1.3	41	8.2	1.1	25	13.4	0.6
Total Grants	1,808			1,324			1,109			783			500			187		
Cost: $2,001 - 2,500			(4,153)			(4,168)			(4,253)			(4,245)			(4,423)			(4,697)
BEOG	708	36.7	17.1	547	31.4	13.1	284	21.7	6.7	180	19.0	4.2	101	18.9	2.3	25	18.5	0.5
SEOG	205	10.6	4.9	218	12.5	5.2	116	8.9	2.7	64	6.7	1.5	22	4.1	0.5	4	3.0	0.1
State, Local, and Private Scholarship	987	51.1	23.8	929	53.3	22.3	876	66.8	20.6	690	72.6	16.3	400	74.9	9.0	100	74.1	2.1
Veterans Benefits	32	1.7	0.8	49	2.8	1.2	35	2.7	0.8	16	1.7	0.4	11	2.1	0.3	6	4.4	0.1
Total Grants	1,932			1,743			1,311			950			534			135		
Cost: $2,501 - 3,000			(4,424)			(4,471)			(4,595)			(4,878)			(5,097)			(5,130)
BEOG	705	35.5	15.9	502	28.3	11.2	294	21.4	6.4	176	15.7	3.6	155	17.1	2.3	25	14.8	0.5
SEOG	173	8.7	3.9	167	9.4	3.7	106	7.7	2.3	63	5.6	1.3	35	5.2	0.7	4	2.4	0.1
State, Local, and Private Scholarship	1,085	54.6	24.5	1,058	59.6	23.7	953	69.2	20.7	871	77.6	17.9	318	77.0	10.2	133	78.7	2.6
Veterans Benefits	23	1.2	0.5	48	2.7	1.1	24	1.7	0.5	12	1.1	0.2	5	0.7	0.1	7	4.1	0.1
Total Grants	1,986			1,775			1,377			1,122			673			169		
Cost: $3,001 - 4,000			(4,939)			(5,029)			(5,212)			(5,395)			(5,535)			(5,333)
BEOG	756	30.4	15.2	593	25.9	11.8	320	17.5	6.1	173	12.4	3.2	111	15.4	2.0	21	11.0	0.4
SEOG	217	8.7	4.4	196	8.6	3.9	117	6.4	2.2	48	3.4	0.9	34	4.7	0.6	6	3.1	0.1
State, Local, and Private Scholarship	1,504	60.5	30.3	1,469	64.2	29.2	1,379	75.5	26.5	1,170	83.2	21.7	569	79.0	10.3	162	84.8	3.0
Veterans Benefits	8	0.3	0.2	30	1.3	0.6	11	0.6	0.2	14	1.0	0.3	6	0.8	0.1	2	1.1	0.0
Total Grants	2,485			2,288			1,827			1,407			720			191		

NOTE: The number in parenthesis is the mean Total College Costs for the corresponding Parental Income and Institutional Cost categories in dollars.

Source: Preliminary tabulations from Studies on the Impact of Student Financial Aid Programs, Study B: Impact of Student Aid and Labor Market Conditions on Access to Postsecondary Education, Institute for Demographic and Economic Studies, Inc., funded by Office of Planning, Budgeting, and Evaluation, Contract #300-75-0382.

In the latter context it should be noted that while the contribution of BEOG's to the equalization of the loan-work burden occurs at all cost levels, its contribution is greatest (in a relative sense) at the lower levels of institutional costs. However, the two lowest institutional cost levels in Table 2 account for approximately 90 percent of all students. At the higher cost schools, BEOG's play a greater absolute role (i.e., awards are higher) in equalizing loan-work burdens by income level, however, they account for a lower percentage of total cost. Rather at the higher institutional cost levels, state, local, and private scholarships are more important in equalizing financial barriers across family income levels. This is of course in keeping with the greater emphasis in the Basic Grant Program on access and lesser emphasis on choice.

Ongoing and Planned Evaluation Studies:

The Office of Education has recently funded a set of four major national studies which will assess the impact of Federal financial aid on students, postsecondary institutions and state governments. Study A will assess the impact of Federal and state financial aid programs and policies on the choice process of postsecondary bound students. Study B will examine the way in which market conditions (and perceptions thereof) interact with educational costs and financial aid to influence access to postsecondary institutions. Study C will examine the role of financial aid in student persistence in postsecondary education. Study D will examine the relationship between Federal and state student aid programs and institutional practices in recruiting and admitting students and dispensing financial aid. (Preliminary findings for Study A have been included in the effectiveness section above.)

Sources of Evaluation Data:

Program files, Division of Basic and State Student Grants, Bureau of Postsecondary Education.

Higher Education Panel Survey #27 "Student Assistance Programs", Preliminary Findings, American Council on Education, Washington, D. C., October 1975.

Higher Education Research Institute: Preliminary Tabulations from Studies on Impact of Student Financial Aid Programs, Phase 2, OPBE Contract #300-75-0382.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Supplemental Educational Opportunity Grants Program

Legislation: | **Expiration Date:**

Public Law 92-318, 86 Stat. 251; as amended Public Law 94-482. | September 30, 1979

Funding History:	Year	Authorization	Appropriation
	1974	$200,000,000 *	$210,300,000
	1975	200,000,000 *	240,300,000
	1976	200,000,000 *	240,093,000
	1977	200,000,000 *	Deferred

* For initial year grants plus such sums as may be needed for continuing grants.

Program Goals and Objectives:

The purpose of the SEOG program is "to provide, through institutions of higher education, supplemental grants to assist in making available the benefits of postsecondary education to qualified students who, for lack of financial means, would be unable to obtain such benefits without such a grant." The more general related goal of the program is to contribute to the promotion of equality of educational opportunity at the postsecondary level.

Program Operations:

Supplemental Educational Opportunity Grants (SEOG) funds for initial year awards are apportioned among the states in the same ratio as a state's full-time and full-time equivalent enrollment bears to the total national full-time and full-time equivalent enrollment. Continuing awards are allotted in accordance with regulations published by the Commissioner of Education. Grants which are awarded by institutions of higher education are designed to provide additional resources to students whose finances are otherwise insufficient to permit attendance without such a grant. The maximum award is $1,500 per year or one-half of the sum of the total amount of student financial aid provided to such student by the institution--whichever is the lesser. The total amount of funds awarded to any student, over the course of his academic career, may not exceed $4,000--except in those instances where a student is enrolled in a program of study extending over five academic years, or where particular circumstances, as determined by the institution, require that a student spend an additional year completing a program of study which normally requires four academic years. The limit is then set at $5,000. Awards are limited to students who have been accepted as undergraduates at their respective institutions, who maintain satisfactory progress, who are enrolled at least half time, and who would be financially unable to pursue a program of study at such institution without such an award.

Program Scope:

In Fiscal Year 1974, 2,904 institutions participated in the SEOG program. This represented a 26.1 percent increase over institutional participation in the SEOG programs in Fiscal Year 1973. There was a further increase of 12.2 percent in institutional participation in the SEOG program between Fiscal Year 1974 and Fiscal Year 1975 with 3,258 institutions participating in the latter fiscal year. During these years, the largest percentage increase was in the private sector, with institutional participation increasing by over 75 percent to 843 proprietary schools. In Fiscal Year 1976, the number of participating institutions increased to 3,406--an increase of 4.5 percent. Of this number, 1,286 were private schools, including 848 proprietary. Although private institutions contribute 40 percent of participating institutions they receive only about 19 percent of the funds.

In Fiscal Year 1976, public universities received 36.2% of the funds made available. Other public four-year institutions received 8.1%; public two-year colleges, 13.9%; public vocational-technical schools, 1.3%; private universities, 13.4%; other four-year private institutions, 17.4%; private two-year schools, 2.7%, and proprietary schools, 7.0%. This distribution does not differ substantially from previous years. Program data indicate that approximately 445,000 students received average grants of $524.

In Fiscal Year 1972 there were recommended institutional funding levels for EOG aid of $259,084,000. By Fiscal Year 1974 recommendations had increased to $468,095,414 and in 1974-75 they had decreased slightly to $458,814,123 while appropriations remained at less than half of those figures. Recommended requests for Fiscal Year 1976 totaled $519,890,762. The appropriation for use during Fiscal Year 1976 was $240,300,000.

Program Effectiveness and Progress:

Recent results from the Higher Education Panel Survey for Fiscal Year 1975 indicate that the SEOG program is generally working in the direction of equality of access and choice along the student dimensions of sex, income, and minority status. 1/ With respect to the sex characteristic, it is interesting that substantially over half the awards go to females at all institutions except private universities and even at the latter, women receive a percentage of SEOG's

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1/ The HEP Survey did not include proprietary or public vocational schools which accounted for a total of 8.3% of all funds in FY 1976.

(48.0%) which greatly exceeds their proportion in the total enrollment at these institutions. The percentage of minority students receiving Supplemental Grants is 47.8 percent for all institutions, which is far in excess of their percentage of total enrollment. Public two-year institutions showed the greatest percentage of minority SEOG recipients (55.7%) and public universities the least (38.0%). In the private sector, a different pattern emerges with the lowest percentage of recipients of minority status in two-year institutions (40.7%) and the highest in universities (48.0%).

The following table gives the percentage distributions of SEOG awards by income and dependency status. Well over half the awards at all institutions are received by dependent students with family incomes of less than $7,500. While there are some differences by type within the public and private sectors the pattern referred to above does not differ substantially between sectors.

Table 1
Characteristics of Participants in the Supplemental
Opportunity Grant Program by Type and Control of Institution, 1974-75
(In percentages)

			Public Institutions		
Characteristics	Total All Institutions	Total	Two-Year	Four-Year	University
Dependent Undergraduates					
Family Income					
Less than $7,500	54.3	54.0	45.2	60.4	53.2
$7,501 - 11,999	22.3	19.2	15.0	19.8	23.8
More than 11,999	5.3	4.3	3.6	4.4	5.6
Independent Undergraduates	18.1	22.5	36.2	15.4	17.4
	100.0	100.0	100.0	100.0	100.0
			Private Institutions		
Dependent Undergraduates					
Family Income					
Less than $7,500		55.0	55.5	56.0	49.1
$7,501 - 11,999		29.1	25.9	28.2	35.8
More than 11,999		7.2	11.1	6.7	8.4
Independent Undergraduates		8.7	7.6	9.1	6.7
		100.0	100.0	100.0	100.0

Table 2
Percentage and Amount of Total College Costs from Nonreturnable Grant Aid Sources by Parental Income and Institutional Cost for First-Time, Full-Time, Students
Fall 1975

Institutional Cost and Source	Parental Income																	
	$0-6,000			$6,001-10,000			$10,001-15,000			$15,001-20,000			$20,001-30,000			$30,001 or More		
	Amount	% TG	% TC	Amount	% TG	% TC	Amount	% TG	% TC	Amount	% TG	% TC	Amount	% TG	% TC	Amount	% TG	% TC
Cost: $0 - 1,500			(2,123)			(2,143)			(2,164)			(2,294)			(2,527)			(2,938)
BEOG	567	60.6	26.7	575	51.9	17.5	143	35.9	6.6	60	24.2	2.6	29	19.0	1.2	20	19.8	0.7
SEOG	86	9.2	4.0	58	8.0	2.7	26	6.5	1.2	12	4.8	0.5	5	3.3	0.2	4	4.0	0.1
State, Local, and Private Scholarship	215	23.0	10.1	220	30.4	10.3	177	44.5	8.2	141	56.9	6.2	95	62.1	3.8	55	54.5	1.9
Veterans Benefits	68	7.2	3.2	69	9.6	3.2	52	13.1	2.4	35	14.1	1.5	24	15.7	1.0	22	21.8	0.8
Total Grants	936			722			398			248			153			101		
Cost: $1,501 - 2,000			(3,337)			(3,443)			(3,528)			(3,627)			(3,774)			(3,960)
BEOG	784	43.4	23.5	589	38.7	17.1	295	26.6	8.2	167	21.3	4.6	104	20.8	2.8	33	17.6	0.8
SEOG	184	10.2	5.5	168	11.0	4.9	104	9.4	2.9	51	6.5	1.4	25	5.0	0.7	9	4.8	0.2
State, Local, and Private Scholarship	633	35.1	19.0	648	42.5	18.8	631	56.9	17.6	519	66.3	14.3	330	66.0	8.7	120	64.2	3.0
Veterans Benefits	167	9.3	5.0	119	7.8	3.4	79	7.1	2.2	46	5.9	1.3	41	8.2	1.1	23	13.4	0.6
Total Grants	1,806			1,524			1,109			783			500			187		
Cost: $2,001 - 2,500			(4,153)			(4,168)			(4,253)			(4,245)			(4,425)			(4,697)
BEOG	708	36.7	17.1	547	31.4	13.1	284	21.7	6.7	180	19.0	4.2	101	18.9	2.3	25	18.5	0.5
SEOG	205	10.6	4.9	218	12.5	5.2	116	8.9	2.7	64	6.7	1.5	22	4.1	0.5	4	3.0	0.1
State, Local, and Private Scholarship	987	51.1	23.8	929	53.3	22.3	876	66.8	20.6	690	72.6	16.3	400	74.9	9.0	100	74.1	2.1
Veterans Benefits	32	1.7	0.8	49	2.8	1.2	35	2.7	0.8	16	1.7	0.4	11	2.1	0.3	6	4.4	0.1
Total Grants	1,932			1,743			1,311			950			534			135		
Cost: $2,501 - 3,000			(4,424)			(4,471)			(4,595)			(4,678)			(5,097)			(5,130)
BEOG	705	35.5	15.9	502	28.3	11.2	294	21.4	6.4	176	15.7	3.6	115	17.1	2.3	25	14.8	0.5
SEOG	173	8.7	3.9	167	9.4	3.7	106	7.7	2.3	63	5.6	1.3	35	5.2	0.7	4	2.4	0.1
State, Local, and Private Scholarship	1,085	54.6	24.5	1,058	59.6	23.7	953	69.2	20.7	871	77.6	17.9	518	77.0	10.2	133	78.7	2.6
Veterans Benefits	23	1.2	0.5	48	2.7	1.1	24	1.7	0.5	12	1.1	0.2	5	0.7	0.1	7	4.1	0.1
Total Grants	1,986			1,775			1,377			1,122			673			169		
Cost: $3,001 - 4,000			(4,959)			(5,029)			(5,212)			(5,395)			(5,535)			(5,333)
BEOG	756	30.4	15.2	593	25.9	11.8	320	17.5	6.1	175	12.4	3.2	111	15.4	2.0	21	11.0	0.4
SEOG	217	8.7	4.4	196	8.6	3.9	117	6.4	2.2	48	3.4	0.9	34	4.7	0.6	6	3.1	0.1
State, Local, and Private Scholarship	1,504	60.5	30.3	1,469	64.2	29.2	1,379	75.5	26.5	1,170	83.2	21.7	569	79.0	10.3	162	84.8	3.0
Veterans Benefits	8	0.3	0.2	30	1.3	0.6	11	0.6	0.2	14	1.0	0.3	6	0.8	0.1	2	1.1	0.0
Total Grants	2,485			2,288			1,827			1,407			720			191		

NOTE: The number in parenthesis is the mean Total College Costs for the corresponding Parental Income and Institutional Cost categories in dollars.

Source: Preliminary tabulations from Studies on the Impact of Student Financial Aid Programs, Study B: Impact of Student Aid and Labor Market Conditions on Access to Postsecondary Education, Institute for Demographic and Economic Studies, Inc., funded by Office of Planning, Budgeting, and Evaluation, Contract #300-75-0382.

While definitive conclusions will have to await further data on numbers of students who would not have attended postsecondary education without a SEOG award and a more detailed breakdown of average award size by student characteristics, it is reasonably apparent that the impact of the SEOC program is in the direction of greater equality of access and choice along the student dimensions of sex, income and minority status.

Table 2 provides an indication of how SEOG's fit into the overall picture of grant aid for first-time, full-time students. While BEOG's and combined state, local, and private both constitute a more large proportion of the typical award package than does SEOG, the latter is still somewhat greater than Veterans benefits for this student group. At first blush this may be somewhat surprising given the far greater total amount of money in the Veterans program. The reason for this apparent anomaly is that Veterans are typically neither "first-time" nor "full-time."

It is apparent from these data that SEOGP contributes to the equalization of both access and choice. Being distributed on a need basis, SEOG awards vary inversely with parental income and thereby contribute to the equalization of loan-work burdens across income levels. Awards also increase with institutional cost and in this way contribute to the choice. The greater importance of the choice goal in the distribution of SEOG awards when compared to BEOG is indicated by the fact that SEOG awards as a percentage BEOG awards tend to increase with institutional cost. SEOG's are typically in the neighborhood 15 percent of basic grants at the lowest cost levels and about 30 percent at the highest cost levels.

Ongoing and Planned Evaluation Studies:

The Office of Education has recently funded a set of four major national studies which will assess the impact of Federal financial aid on students, postsecondary institutions and state governments. Study A will assess the impact of Federal and state financial aid programs and policies on the choice process of postsecondary bound students. Study B will examine the way in which market conditions (and perceptions thereof) interact with educational costs and financial aid to influence access to postsecondary institutions. Study C will examine the role of financial aid in student persistence in postsecondary education. Study D will examine the relationship between Federal and state student aid programs and institutional practices in recruiting and admitting students and dispensing financial aid.

Sources of Evaluation Data:

U.S. Department of Health, Education, and Welfare, Office of Education, Bureau of Higher Education Factbook.

Program files, Division of Basic Grants, Division of Student Support and Special Programs.

Higher Education Panel Survey #27, "Student Assistance Programs", Preliminary Findings, American Council on Education, Washington, D. C., October 1975.

Higher Education Research Institute: Preliminary Tabulations from Studies on Impact of Student Financial Aid Programs, Phase 2, OPBE Contract #300-75-0382.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

State Student Incentive Grant Program

Legislation: / **Expiration Date:**

Title IV, Subpart A-3 of the Higher Education Act; as amended Public Law 92-318; as amended Public Law 94-482.

September 30, 1979

Funding History:	Year	Authorization	Appropriation
	1973	$50,000,000 *	None
	1974	50,000,000 *	$19,000,000
	1975	50,000,000 *	20,000,000
	1976	50,000,000 *	44,000,000
	1977	50,000,000 *	Deferred

* Plus such sums as may be needed for continuation grants.

Program Goals and Objectives:

The SSIG program is designed to encourage states to develop or expand programs of grant aid to help undergraduate students with "substantial financial need" who attend eligible postsecondary institutions. As with other Federal student assistance programs, SSIG contributes to, and provides an incentive for states to contribute to, the longer term goal of equality of educational opportunity.

Program Operations:

SSIGP is a 50-50 cost-sharing (State-Federal) program under which Federal funds are allotted/reallotted to the states based on a formula reflecting current student attendance patterns. Reallotment is permitted if a state does not use its current allotment. Disbursements are made directly from the Federal Government to the states and from the states to postsecondary institutions on behalf of students. While states are responsible for the selection of grant recipients, selection criteria are subject to review by the Commissioner, and individual student grants are limited to $1,500 per academic year. A state may employ any distribution procedure that falls within the overall scope of the statute.

States are required to administer the funds through a single state agency, with no Federal allowance for administrative costs. To ensure maintenance of effort, State matching for initial student awards must be in excess of the amounts the state spent for grants two fiscal years prior to the year the State initially received aid under the SSIG program.

Program Scope:

Fifty-six States and territories are potentially eligible for matching grants under the SSIG program. In FY 1974, the first year of SSIG operation, scholarship programs were expanded in 27 States, and completely new programs were established in 14 States and territories. The following year, 9 new States and the District of Columbia joined the network of jurisdictions with operational State scholarship programs. 55 States and territories applied in FY 1976 and all 55 are expected to apply in FY 1977.

Under the definition of "substantial financial need," states have a wide latitude in their selection of grant recipients. Students from both low and middle incomes may receive grants under this definition. In FY 1975, an estimated 80,000 students received average grants of $500 ($250 Federal funds). In FY 1976, awards averaging $500 will go to an estimated 176,000 students, including two continuation classes and a new round of initial student grantees. The pattern of support for four full undergraduate classes will be reached in FY 1977.

Program Effectiveness and Progress:

The limited data available with which to assess the effectiveness of the SSIG program suggest that the program has been highly successful in stimulating the development of a network of State scholarship programs for the delivery of financial aid to students. The number of States with such programs almost doubled during the first two years of SSIG operations. At the end of FY 1976, only Guam remained outside the SSIG delivery system.* In September 1975, Joseph D. Boyd, of the National Association of State Scholarship/Grant Programs, reported that the level of state funding for student aid had risen dramatically over the years SSIGP had been in effect. Boyd's estimates for Fiscal Year 1976 show a rise of 13.1 percent over the previous year compared to a rise of 10.9 percent a year earlier, suggesting that states are making an attempt to keep up with the rate of inflation.

Reports from participating States at the end of the program's first year show that 135,365 students received SSIG awards during the 1974-75 school year. Students with family income levels below $6,000 accounted for 41% of the funds and comprised 43% of the recipients. At the other end of the spectrum, middle income students (above $15,000) accounted for 9.2% of the funds and 8.9% of the student recipients. Student awards (Federal plus State) averaged $1,000 or more in 5 States, and maximum awards above $1,000 were reported by 18 States. On the other hand, awards averaged under $250 in 7 States. Not counting 3 States where SSIG awards were level funded at less than $100, the national average was $580. By types of institutions, awards for students at public colleges and universities accounted for 63.3% of the recipients and 48.3% of the funds. Awards for students at private colleges and universities accounted for 33.6% of the recipients and 49.9% of the funds. Proprietary schools accounted for 2.2% of the recipients and 1.4% of the funds. Comparable data regarding use of FY 1975 SSIG funds will be available after November 1, 1976.

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* Nevada and Arizona have until February 1977 to complete their arrangements for providing the required State matching funds.

Out of the 50 States and territories participating in the program during one or both of the first two years, eligibility included public colleges and universities in 48 States, private in 45 States, two-year institutions in 49 States, and proprietary schools in 22 States. Costs covered by student grants included tuition and fees in 49 States, room and board in 36, and other costs in 35. Part-time students were eligible in 18 States and awards were portable to out-of-State institutions in 8 States and 4 territories. Need analysis systems included CSS in 31 States, ACT in 11, the BEOG system in 2 States, tax systems in 3 States, and various combinations in other States.

Ongoing and Planned Evaluation Studies:

The Office of Education has recently funded a set of four major national studies which will assess the impact of Federal financial aid on students, postsecondary institutions and state governments. Study A will assess the impact of Federal and state financial aid programs and policies on the choice process of postsecondary bound students. Study B will examine the way in which market conditions (and perceptions thereof) interact with educational costs and financial aid to influence access to postsecondary institutions. Study C will examine the role of financial aid in student persistence in postsecondary education. Study D will examine the relationship between Federal and state student aid programs and institutional practices in recruiting and admitting students and dispensing financial aid.

The Office of Education has also contracted with Education Commission of the States for a study to evaluate SSIGP itself from a programmatic viewpoint. This study will attempt to determine the relative efficiency of various patterns of State administration in student aid programs utilizing SSIG funds, how State needs analysis practices are interrelated with those used in institutions, how aid is packaged for SSIG recipients, under what conditions grants are portable, problems and potential in expanding eligibility of institutions and students to meet legal requirements, and how consistent the State programs are with respect to other Federal based student aid.

Sources of Evaluation Data:

The Chronicle of Higher Education, September 29, 1975, Vol. XI, No. 3.

Higher Education Panel Survey #27, "Student Assistance Programs", Preliminary Findings, American Council on Education, Washington, D. C. October 1975.

Joseph D. Boyd, Study of State Scholarship Programs, Preliminary Findings, National Association of State Scholarship Programs, October 1975.

SSIG Program Operations, FY 1974 (End-of-Year Update of Program operation data from Financial Status and Performance Reports of Participating States).

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

College Work-Study Program

Legislation:

Public Law 89-329 of the Higher Education Act of 1965, Title IV-C; as amended Public Law 94-482.

Expiration Date:

September 30, 1982

Funding History:	Year	Authorization	Appropriation *
	1965	1/	$ 55,710,000
	1966	$129,000,000	99,123,000
	1967	165,000,000	134,100,000
	1968	200,000,000	139,900,000
	1969	225,000,000	139,900,000
	1970	275,000,000	152,460,000
	1971	320,000,000	158,400,000 2/
	1972	330,000,000	426,600,000 3/
	1973	360,000,000	270,200,000
	1974	390,000,000	270,200,000
	1975	420,000,000	420,000,000
	1976	420,000,000	390,000,000
	1977	450,000,000	Deferred

* Up until FY 1972, the CWS Fiscal Year appropriation was used to fund program operations during the calendar year. With FY 1972, the program became one full year forward-funded.

1/ The Economic Opportunity Act of 1964 authorized a lump sum of $412,500,000 for three youth programs including College Work-Study.

2/ Actual funds available for CWS in this year amounted to $199,700,000, including reprogrammed funds.

3/ Includes $244,600,000 forward funding for FY 1973, plus a supplemental of $25,600,000. A total of $237,400,000 was available for use during FY 1972 from a combination of FY 1971 and FY 1972 appropriations.

Program Goals and Objectives:

The objective of CWSP under the legislation in effect in FY 1976 was to stimulate and promote the part-time employment of students with great financial need in eligible institutions who need earnings from employment to finance their courses of study. By subsidizing the part-time employment of needy students the program contributes to the longer term Federal goal of equality of educational opportunity at the postsecondary level. The qualitative and quantitative dimensions of the goal of equality of educational opportunity are discussed in the Overview of Postsecondary Education.

Program Operations:

Under the legislation in effect in FY 1976 employment partially financed by College Work-Study funds could be made available in public or private non-profit organizations including the institution in which a student is enrolled. Students were able to work up to 40 hours per week.

Grants were made to higher education institutions for partial reimbursement of wages paid to students. Since August 1968, these Federal grants have covered up to 80 percent of the student wages, with the remainder paid by the institution, the employer, or some other donor.

Two percent of each year's appropriation was reserved for Puerto Rico, Guam American Samoa, the Virgin Islands, and the Trust Territory of the Pacific Islands. A portion was also reserved for students from American Samoa/Trust Territories who attend eligible institutions of postsecondary education outside Samoa or the Trust Territory. The rest was allotted among the 50 states and the District of Columbia, 51 areas, by formula. The formula was based on three factors:

(1) The number of full-time higher education students each area has relative to the total number for the 51 areas.

(2) The number of high school graduates each area has relative to the total number for the 51.

(3) The number of related children under 18 years of age living in families with income of less than $3,000 each area has relative to the total number for 51.

Program Scope:

During Academic Year 1975-76, 3,215 institutions of postsecondary education participated in the CWS program enabling approximately 895,000 students to find part-time employment. The average annual student earnings including the institutional matching share, amounts to an estimated $525 per student. About 18 percent of CWS funds help finance off-campus jobs held by 16 percent of the CWS job holders. Gross compensation earned by students was almost $470 million.

It is estimated by the CWSP staff that, during Academic Year 1975-76, CWSP funds were distributed to institutions as follows: public universities, 11%; other four-year public, 5%; public two-year, 23%; private universities, 12%; other four-year private, 23%; private two-year, 8%; public vocational, 6%, and proprietary, 12%. Ninety four percent of the funds went to undergraduates while 6% was awarded to students at the post-baccalaureate level.

For FY 1976, panels approved $581,798,958 in institutional requests, as compared with $390,000,000 actually available for distribution to schools.

Program Effectiveness and Progress:

The CWSP appears to be effective in stimulating the employment of needy students. However, any definitive finding must await data showing how many students would not have found employment in the absence of CWSP. The program is unquestionably popular with postsecondary institutions both as a student aid program and as a means of providing a pool of highly subsidized labor. This pool is also welcomed by other participating non-profit institutions.

With respect to the Federal goals of equality of access and choice the program appears to be somewhat successful in promoting these ends. A survey in April 1975 indicates that well over half (54.0%) of CWSP participants at all eligible institutions were female, 32.6 percent were from ethnic minorities, and 38.5 percent were dependent undergraduates with family incomes less than $7,500 (see Table 1 below) 1/. These percentages are substantially in excess of the percentages in total enrollment in traditional postsecondary institutions of students with these characteristics. Nonetheless, in that the program is designed to benefit students in great financial need it is somewhat surprising that its impact on minority and low-income students is substantially less than that of the Basic Grant and Supplemental Grant Programs. Over 17 percent of CWS recipients are dependent undergraduates with family incomes in excess of $11,999, while the comparable percentages for BEOGP and SEOGP are 7.3 and 5.3 respectively. In terms of minority status, 67.5 percent of CWS participants are from non-minority groups compared to about 52 percent for BEOGP and SEOGP. Thus, CWSP is clearly more middle class and non-minority in its practical orientation than are the two grant programs. It should be noted that the survey data upon which these percentages are based do not differ appreciably from unedited program data for FY 1974.

1/ The study (Higher Education Panel Survey No. 27) did not include proprietary or public vocational schools which received 18% of all work study funds in FY 1976.

TABLE 1

Characteristics of Participants in the College Work-Study Program by Type and Control of Institution, 1974-75*
(In percentages)

		Public Institutions			
Characteristics	Total All Institutions	Total	Two-Year	Four-Year	University
Dependent Undergraduates					
Family Income					
Less than $7,500	38.5	41.2	44.9	42.4	33.8
$7,500 - 11,999	25.9	24.8	23.3	26.3	23.6
More than 11,999	17.2	10.9	8.3	11.7	12.4
Independent Undergraduates	19.5	19.1	23.5	16.1	20.0
Graduate Students	3.9	4.0	0	3.5	10.2
	100.0	100.0	100.0	100.0	100.0
		Private Institutions			
Dependent Undergraduates					
Family Income					
Less than $7,500		33.6	47.8	33.7	26.4
$7,500 - 11,999		28.0	34.3	27.8	26.0
More than 11,999		28.3	13.2	29.0	32.0
Independent Undergraduates		6.3	4.7	6.7	5.0
Graduate Students		3.8	0	2.8	10.6
		100.0	100.0	100.0	100.0

* Based on findings of the Higher Education Panel Survey No. 27.

More recent data from the Higher Education Research Institute's Studies on Impact of Student Financial Aid Programs indicates that the percentage and amount of college expenses financed by all student work and by College Work-Study jobs for first-time and full-time freshmen in the Fall 1975 range from 12 to almost 20 percent of total student expenses for students from families with incomes of $20,000 or less. Work-Study accounted for from one-fourth to one-half of all earnings with low income groups receiving more Work-Study funds both in real and relative terms. Further as Table 2 shows, students in the middle income range finance a greater proportion of their expenses with job earnings than do students at either the lower end or higher end of the income scale.

TABLE 2

Percentages and Amount of Total College Costs From Work Sources of Support by Parental Income and Institutional Cost for First-Time, Full-Time Students

Fall 1976

Institutional Cost and Source	Parental Income $0-6,000 Amount	%	$6,001-10,000 Amount	%	$10,001-15,000 Amount	%	$15,001-20,000 Amount	%	$20,001-30,000 Amount	%	$30,001 or More Amount	%
Cost: $0 - 1,500												
CWS	112	5.0	89	4.0	56	2.6	33	1.4	15	.6	9	.3
Other Work	224	10.6	302	14.1	363	16.8	391	17.1	484	15.1	342	11.7
Total Work	336	15.6	391	18.1	419	19.4	424	18.5	499	15.7	351	12.0
Cost: $1,501 - 2,000												
CWS	174	5.2	174	5.1	134	3.7	108	3.0	62	1.6	12	.3
Other Work	249	7.5	341	9.9	411	11.4	448	12.4	433	11.5	330	8.3
Total Work	423	12.7	515	15.0	545	15.1	556	15.4	495	13.1	342	8.6
Cost: $2,001-2,500												
CWS	213	5.1	224	5.4	166	3.9	128	3.0	62	1.4	10	.2
Other Work	248	5.9	291	6.9	377	8.8	397	9.3	412	9.3	306	6.5
Total Work	461	11.0	515	12.3	543	12.7	525	12.3	474	10.7	316	6.7
Cost: $2,501 - 3,000												
CWS	250	5.6	222	5.0	208	4.5	162	3.3	90	1.8	12	.2
Other Work	253	5.7	365	8.2	409	9.5	467	9.5	410	8.0	285	5.6
Total Work	503	11.3	587	13.2	617	14.0	629	12.8	500	9.8	297	5.8
Cost: $3,001 - 4,000												
CWS	289	5.8	297	5.9	222	4.3	158	3.1	108	2.0	13	.2
Other Work	325	6.6	346	6.8	388	7.4	486	9.4	432	7.8	282	5.3
Total Work	614	12.4	643	12.7	610	11.7	644	12.5	540	9.8	295	5.5

Source: Preliminary tabulations from studies on the Impact of Student Financial Aid, Higher Education Research Institute, Los Angeles, California, Office of Planning, Budgeting, and Evaluation Contract #300-75-0382.

Perhaps the strongest findings with respect to the impact of CWSP and access to postsecondary education is contained in a study by the Bureau of Applied Social Research at Columbia University based on 1969-70 data. This study reports the percentages of students by income level who said they would not have attended without CWS.

Family Income Level	Percent of CWS Students Who Would Not Have Attended Without CWS
Less than $3,000	32.7%
$3,000 to $5,999	23.2
$6,000 to $7,499	16.2
$7,500 to $8,999	13.1
$9,000 or more	8.0

Again it can be seen that CWS aid was crucial to a larger percentage of low income students than higher income students.

Ongoing and Planned Evaluation Studies:

The Office of Education, as noted last year, funded a set of four major national studies which will assess the impact of Federal financial aid on students, postsecondary institutions and state governments. Study A which will assess the impact of Federal and state financial aid programs and policies on the choice process of postsecondary bound students provided information for Table 2. Study B will examine the way in which market conditions (and perceptions thereof) interact with educational costs and financial aid to influence access to postsecondary institutions. Study C will examine the role of financial aid in student persistence in postsecondary education. Study D will examine the relationship between Federal and state student aid programs and institutional practices in recruiting and admitting students and dispensing financial aid.

Sources of Evaluation Data:

Program files, Bureau of Postsecondary Education.

Higher Education Panel Survey #27, "Student Assistance Programs", American Council on Education, Washington, D. C., October 1975.

Bureau of Applied Social Research, The Federal College Work-Study Student Assistance Programs, Fall 1971, Washington, D. C., 1974.

Higher Education Research Institute: Preliminary Tabulations from Studies on Impact of Student Financial Aid Programs, Phase 2, OPBE Contract #300-75-0382.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Cooperative Education Program

Legislation:

P.L. 89-329, as amended by P.L. 90-575; as amended by P.L. 92-318 of the Higher Education Act of 1972 (20 U.S.C. 1087); as amended by P.L. 94-482.

Expiration Date:

September 30, 1982

Funding History:	Year	Authorization	Appropriation
	1970	*	$ 1,540,000
	1971	*	1,600,000
	1972	$10,750,000	1,700,000
	1973	10,750,000	10,750,000
	1974	10,750,000	10,750,000
	1975	10,750,000	10,750,000
	1976	10,750,000	10,750,000
		3,250,000 **	
	1977	16,500,000	Deferred

* One percent of the College Work-Study appropriation was authorized to be used in support of Cooperative Education programs at higher education institutions.

** Transitional Quarter 1976.

Program Goals and Objectives:

The purpose of this program is to assist some institutions of higher education in establishing, strengthening or expanding on their campuses Cooperative Education programs which alternate full-time academic study with periods of full-time employment. The purpose of such student employment is to enable students to obtain funds for their education and to the extent possible work experience related to their academic or occupational objective.

The legislation for this program in addition authorizes grants for training and research, the purpose of which is to train Cooperative Education administrators and to seek methods of improving Cooperative Education programs.

Program Operations:

Under the Cooperative Education program, grants are awarded to institutions on a proposal basis, with an institution eligible to receive grants for three years. Awards cannot exceed $75,000 and funds must not be used as compensation for student employment. Salaries and other administrative expenses for Cooperative Education administrators are payable from grant funds.

The institutions of higher education assume the responsibility for assigning the student to a job relevant to his academic program and providing supervision during the work period. The institution evaluates, with employer input, the student's job performance and in some cases awards academic credit for the work experience. In other cases the kind and extent of work experience is recorded on the transcript.

Program Scope:

In FY 1976, 593 proposals were submitted. This number is smaller by 138 than the number of proposals submitted in FY 1975--possible because of an earlier application deadline. Of the 593 submitted, 287 were acted on favorably. 268 awards were made to institutions for program strengthening and administration, 15 went towards training of Cooperative Education coordinators and 4 towards research. Of the 268 awards for strengthening and administration, 120 went to two-year public, 97 to four-year public, 13 to two-year private, and 57 to four-year private. The total number of institutions exceeds the number of awards because some awards went to consortia.

The recently completed Report on Funding Patterns compiled by Applied Management Sciences as a part of the larger study on Cooperative Education reveals that approximately 75 percent of the institutions receiving Title IV-D grants, Cooperative Education is optional and at the same percentage of institutions non-additive credit is awarded for the work component of Cooperative Education.

Twice as many public institutions as private institutions have been awarded recipients. The average award is approximately $30,000, substantially less than the legal limit of $75,000 and also considerably less than requested by applicants. The majority of grants support engineering and business programs, though there has been an increase in the number of vocational and other type programs supported.

Program Effectiveness and Progress:

The National Commission of Cooperative Education reported that in 1976, 1,017 institutions of higher education have or are planning to have Cooperative Education programs. 842 of these placed one or more students on a work experience. Federal funds helped fund slightly more than one-half of these programs which probably affect somewhat less than one-half of the Coop students inasmuch as the average size of the older more well-established programs is larger than the average size of the newer ones.

Applied Management Sciences is conducting a nationwide mandated study of Cooperative Education. To date, they have completed two products of interest--one is the Bibliography and the other is the Federal Effectiveness report.

The annotated Bibliography is a product of a critical review of literature. Generally the studies reviewed fell into one of several categories; assessment of a single program, assessment of several programs and feasibility studies. The reviewers determined that many of these studies were suspect or not too useful for a variety of reasons. Single programs were frequently reviewed by the program head who could not fail to be biased. Researchers who conducted studies of several programs also frequently appeared to be biased. Feasibility studies more often than not appeared to have been preceded by the decision that a program was feasible. Many of the program commentaries were written with the express purpose of gaining support.

The federal effectiveness report showed that the federal program is in general well run. Highly rated proposals submitted to request Title IV-D funding were invariably funded and the lowest rated ones were not. Other significant findings include the fact that geographic distribution of the earlier awards was skewed to the south because of the encouragement given to Title III institutions to apply and because the Title III and Title IV-D programs were formerly under the same administration. Another finding was that if an institution rated highly enough to be funded one year, it frequently was rated highly and funded for the two subsequent years.

A number of recommendations for improved administration were suggested by the contractor. These included: (1) evaluation criteria should be included in the application forms so that all applicant institutions would know how their proposals would be judged. (2) Parts of rating sheets should be assigned a numerical value and a total computed. This procedure would permit a rank ordering of submitted proposals. If awards deviated from this order an explanation would be required. (3) More up-to-date institutional data should be collected including projected Cooperative Education enrollment for the next year.

Recently some very preliminary data from the site visits has been tabulated. It indicates that, in general, Cooperative Education is viewed favorably by all three participants who concur that the most important purpose of Cooperative Education is career preparation. None considered student financial aid to be a primary purpose of Cooperative Education. The highest rated components of the Co-op programs were the instruction by employers, employers' facilities and instruction by the college. The lowest rated components were career counseling placement after graduation and recruitment of career relevant employers.

Ongoing and Planned Evaluation Studies:

Applied Management Sciences of Silver Spring, Maryland is conducting a congressionally mandated nationwide study of Cooperative Education. The field work has been completed and data analysis will begin shortly. The final report should be available by April 1, 1977.

Sources of Evaluation Data:

Program files, Bureau of Postsecondary Education

Applied Management Sciences: Report on Federal Funding Patterns; An Annotated Bibliography

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Guaranteed Student Loan Program

Legislation: **Expiration Date:**

Title IV-B, Higher Education Act of 1965, as amended, Public Law 89-329, as amended; Emergency Insured Student Loan Act of 1969; Public Law 91-95, as amended; Public Law 94-482, as amended.

September 30, 1981

Funding History:

Year	Loan Volume	Obligations 1/	Appropriation 1/
1966	$ 77,492,000 2/	$ -	$ 9,500,000 2/
1967	249,235,000 2/	15,632,000	43,000,000 2/
1968	459,377,000 2/	39,937,000	40,000,000 2/
1969	686,676,000	60,571,000	76,400,000
1970	839,666,000	118,387,000	74,726,000
1971	1,043,991,000	135,616,000	163,400,000
1972	1,301,577,000	228,708,000	212,765,000
1973	1,198,523,000	304,237,000	291,640,000
1974	982,000,000 3/	422,581,000	398,668,000
1975	1,108,000,000 3/	505,914,271	580,000,000
1976	1,049,000,000 3/	450,398,000	653,787,000
1977	1,048,000,000 (est.)	494,818,000 (est.)	357,312,000 4/

1/ Includes: advances for reserve funds, expenditures for interest payments, death and disability claims, special allowance, bankruptcy claims and default claims. Costs for computer services and other S & E items are not included.

2/ Includes loans primarily carried under Vocational Education.

3/ Disbursed loan volume rather than commitments as for prior years.

4/ Does not include appropriations supplement.

Program Goals and Objectives:

The objective of the Program is to provide loans to students attending eligible institutions of higher education, vocational, technical, business and trade schools, and eligible foreign institutions. This Program is designed to utilize private loan capital supplied primarily by commercial lenders but also by some educational institutions acting as direct lenders. These loans are guaranteed either by individual State agencies (reinsured by the Federal government) or directly by the Office of Education. The objective of such guarantees is to provide a substitute for collateral which is generally unavailable from students. This permits lenders to make loans directly to students (not their families) without these students having to establish credit ratings. The goal is to provide the broadest possible access to loan capital without the usual constraints of credit-worthiness and provision of collateral to secure the loan. Such broad access to loan capital is intended to provide freer access by students to postsecondary education and a wider choice in the types of institutions attended. Guaranteed loans are an important supplement to other Office of Education programs of student financial aid, providing low-income students with an additional source of funds and providing many middle and upper middle-income students with their only source of Federal assistance.

Program Operations:

The principal of the loan is provided by participating lending institutions such as commercial banks, savings and loan associations, credit unions, insurance companies, pension funds, and eligible educational institutions. The loan is guaranteed by a State or private non-profit agency or insured by the Federal government.

Loans are nearly equally divided between those insured by States and reinsured (80 percent) by the Federal government and those directly insured by the Federal government. The following is a description of the program during FY 1976. Some of these provisions were changed by the Education Amendments of 1976 (P.L. 94-482). A student is eligible if he is enrolled and in good standing or accepted for enrollment at least half time at an eligible institution and is a United States citizen or is in the United States for other than a temporary purpose and intends to become a permanent resident thereof. The total aggregate of loans outstanding cannot exceed $7,500 for undergraduate students and $10,000 for graduate students including undergraduate loans. Students are eligible for Federal interest benefits if their adjusted family income is under $15,000 and they seek loans of not more than $2,000 in any academic year. A student not meeting these conditions may apply for Federal interest benefits by submitting to the lender a recommendation by the educational institution as to the amount needed by the student to meet his educational costs. After considering the recommendation, the lender will determine the amount of the loan. For students found eligible for interest benefits, the Federal government will pay to the lender the total interest due prior to the beginning of the repayment period and during authorized deferment periods thereafter. Students not eligible for Federal interest benefits may still apply for a loan but will have to pay their own interest. The student pays the total interest at an annual percentage rate of 7% during the repayment period which begins 9-12 months after graduation or withdrawal from school. Deferment or repayment of principal is allowed for return to school as a full-time student and up to three years for military service, Peace Corps, or VISTA participation. Minimum repayment period is generally five years, the maximum being ten years. The maximum loan period is fifteen years.

A special allowance is authorized to be paid to lenders when the Secretary determines that economic conditions are impeding or threatening to impede the fulfillment of the purposes of the Program and that the return to the lender is less than equitable. The rate which is determined quarterly may not exceed 3% per annum on the average quarterly unpaid balance of principal loans disbursed on or after August 1, 1969.

Program Scope:

Cumulative disbursements insured through FY 1976 are allocated 46 percent to FISLP and 54 percent to State Guarantee Agencies. Loans are provided to students attending 3,799 eligible institutions of higher education, 4,283 vocational, technical, business, and trade schools, and 804 foreign educational institutions. Many different types of institutions participate as lenders in GSLP. By percent of total loan disbursement volume, the following types constituted the major portion of FISLP lending in FY 1975:

Type of Lending Institution	Percentage of FY 1975 Disbursements	
	FISL	GA
National Bank	30.3	36.3
State Bank - FDIC	18.5	29.5
State Bank - Non-FDIC	3.9	*
Federal Savings & Loan	3.0	5.2
State Savings & Loan	0.9	2.9
Federal Credit Union	2.6	1.6
State Credit Union	1.1	1.2
Mutual Savings Bank	0.4	19.0
Insurance Company	0.7	*
Academic Institution	6.5	*
Direct State Loan	9.2	2.2
Funds & Rehab. Corp.	1.5	1.9
Vocational Institution	21.4	0.1
	100.0	100.0

* Less than 0.1 of one percent.

In Fiscal Year 1976 over 14,242 institutions were approved and making loans and 444,000 Federal loans as well as 538,000 State and other loans totalling 982,000 were disbursed. The total amount of loan disbursements was $1,049,000,000, $482 million of which was Federal and $567 million of which was State and other. The amount of the average loan was $1,065. FISLP is operating in 28 states.

Of the total FY 1976 obligations, $280 million went to interest benefits and Special allowance payments, $4.2 million for death and disability payments, and $8.2 million for bankruptcy losses, and $156.2 million for the payment of defaulted claims.

Program Effectiveness and Progress:

Program effectiveness can be partially measured by indicating the distribution of loans among borrowers with different characteristics in order to determine whether use of these loans meets the objective of broad access to loan capital. These distributions can be compared with those of other student assistance programs which are, by design, targeted to students from lower income families. An additional measure of the Program's progress is reduction in the default rate.

In FY 1975, 22.8 percent of all borrowers (both dependent and independent students) were from families with adjusted family income less than $3,000, 24.4 percent had family incomes between $3,001 and $6,000, 15.1 percent were from families between $6,001 and $8,000 of incomes, 19.9 percent from families having $8,001 and $11,000 income, 15.7 percent between $11,001 and $14,999, and 2.5 percent with adjusted family income over $15,000.

The percent distribution of FISLP loans disbursed by ethno-racial category was: 11.6 percent Black; 2.6 percent Spanish American; .5 percent Oriental American; and 77.9 percent White; and 7.4 percent not responding. Approximately 66 percent of loans are to males and 34 percent to females. 44 percent of loans go to first year students, 15 percent to second year students, 16 percent to third year students, 14 percent to fourth and fifth year students, and 11 percent to graduate students. The average age of borrowers has been increasing as proprietary schools participated more intensively in the program and 26 percent of all borrowers in FY 1973 were 27 years of age or older. Approximately 57 percent of borrowers were single.

The attached table indicates the amount and percentage of total college costs represented by loans of various types. The table shows, for example, that the dollar amount of loans generally increases as institutional cost increases. There is a slight decrease in the percentage dependence on loans at institutions with total costs above $3,500. It is also apparent that percentage dependency on loans generally decreases at parental incomes above approximately $12,500. At the higher cost institutions attended by students in the two highest income categories, percentage dependence on loans is only 10.4 and 3.0 percent, respectively. The table reveals that students with approximate parental incomes of under $15,000 utilize NDSL loans more heavily while larger GSLP utilization is the case for those with family incomes above $15,000. There is no combination of family income and institutional cost for which loans exceed 20 percent of total costs. This would appear to indicate a relatively low preference for borrowing by the college-going population as a whole, and a surprisingly low preference by higher income groups attending expensive institutions.

The default rate for the Federally Insured Student Loan Program has increased in recent years, primarily because of high defaults among borrowers attending Proprietary (vocational) institutions. Default rates increased to 12.1 percent in FY 1976 and are estimated to reach 12.3 percent in the current (FY 1977) years, and are projected to 13.5 percent in FY 1978.

Amount of Loan and Percent of Total College Costs for Student Loans by Source, Parental Income and Institutional Cost for First-Time, Full-Time, Students
Fall 1975

Institutional Cost and Source	Parental Income											
	$0 - 6,000		$6,001 - 10,000		$10,001 - 15,000		$15,001 - 20,000		$20,001 - 30,000		$30,001 or More	
	Amount	%	Amount	%	Amount	%	Amount	%	Amount	%	Amount	%
Cost: $0 - 1,500		(2,123)		(2,143)		(2,164)		(2,294)		(2,527)		(2,938)
GSLP	60	2.8	69	3.2	89	4.1	93	4.1	63	2.5	24	0.8
NDSL	69	3.3	84	3.9	67	3.1	55	2.4	26	1.0	8	0.3
Other Loans	40	1.9	43	2.0	57	2.6	57	2.5	47	1.9	23	0.8
Total Loans	169	8.0	196	9.1	213	9.8	205	8.9	136	5.4	55	1.9
Cost: $1,501 - 2,000		(3,337)		(3,443)		(3,528)		(3,627)		(3,774)		(3,960)
GSLP	248	7.4	290	8.4	381	10.6	315	8.7	249	6.6	68	1.7
NDSL	186	5.6	226	6.6	179	5.0	160	4.4	82	2.2	20	0.5
Other Loans	65	1.9	74	2.1	88	2.5	126	3.5	88	2.3	38	1.0
Total Loans	499	15.0	590	17.1	648	18.1	601	16.6	419	11.1	126	3.2
Cost: $2,001 - 2,500		(4,153)		(4,168)		(4,253)		(4,245)		(4,425)		(4,697)
GSLP	191	4.6	216	5.2	252	5.9	242	5.7	165	3.7	56	1.2
NDSL	353	8.5	348	8.3	310	7.3	228	5.4	97	2.2	18	0.4
Other Loans	87	2.1	85	2.0	117	2.8	130	3.1	102	2.3	42	0.9
Total Loans	631	15.2	649	15.6	679	16.0	600	14.1	364	8.2	116	2.5
Cost: $2,501 - 3,000		(4,424)		(4,471)		(4,595)		(4,878)		(5,097)		(5,130)
GSLP	222	5.0	251	5.6	280	6.1	291	6.0	214	4.2	68	1.3
NDSL	301	6.8	300	6.7	245	5.3	201	4.1	94	1.8	16	0.3
Other Loans	109	2.5	120	2.7	127	2.8	139	2.8	115	2.3	52	1.0
Total Loans	632	14.3	671	15.0	652	14.2	631	12.9	423	8.3	136	2.7
Cost: $3,001 - 4,000		(4,959)		(5,029)		(5,212)		(5,395)		(5,535)		(5,333)
GSLP	194	3.9	209	4.2	271	5.2	311	5.8	297	5.4	79	1.5
NDSL	410	8.3	489	9.7	407	7.8	274	5.1	122	2.2	15	0.3
Other Loans	154	3.1	119	2.4	121	2.3	134	2.5	159	2.9	67	1.3
Total Loans	758	15.3	817	16.2	799	15.3	719	13.3	578	10.4	161	3.0

NOTE: The number in parentheses is the mean Total College Costs for the corresponding Parental Income and Institutional Cost categories in dollars.

Source: Preliminary tabulations from studies on the Impact of Student Financial Aid, Higher Education Research Institute, Los Angeles, California, Office of Planning, Budgeting, and Evaluation Contract #300-75-0382.

A Survey of Commercial Lenders in the Guaranteed Student Loan Program was completed in December, 1975 by RMC Research Corporation of Bethesda, Maryland. The study assessed relationships between lenders and borrowers; evaluated data on lender costs; and explored the influence of various factors on the actual and potential participation of lending institutions in GSLP. Questionnaire returns were received from 512 lenders including 21 of the 23 largest lenders. The study found that commercial lenders were most concerned about low net yields and heavy administrative burdens but that only six percent stated that they were planning to cease making new loans under the Program. However, another 12 percent said they would decrease the amount of guaranteed loans made. In addition to low net yield, frequently cited reasons for dissatisfaction were excessive delays in the repayment of claims, too long a repayment period for loans, the administrative burdens associated with high default incidence, and too much unnecessary paper work. A large majority of lenders indicated higher costs for administering GSLP than for other consumer installment loans. However, a very small percentage of lenders stated that no degree of improvement in non-economic conditions would be sufficient to induce them to increase their participation in the Program. The study also found that student access to loans is not as broad as had generally been believed. Over 70 percent of the lenders stated that for the student or his parents, having a prior account with the lender was a "very important" consideration in the making of the loan. Almost 53 percent said they always checked the family's credit record and 28 percent checked the school record. While no one of these checks carries the implication of a general system of loan "screening", taken together their use may indicate a basis for restricting loans to some students despite the existence of the guarantee. The study also indicated the difficulties experienced by lenders in trying to convert loans to repayment status following the borrower's completion or termination of his course of studies. Lenders cited the absence of timely information on borrowers' change of status and the lack of valid current addresses. A separate survey revealed that 58 percent of defaulters and 26 percent of non-defaulters had last known addresses which were invalid even after extensive follow-up activities. The study also found that borrowers who attend vocational schools which are direct lenders, and borrowers who obtain their loans without face-to-face contact with lenders, have significantly higher than average default rates.

In June, 1976, Systems Group, Inc. of Washington, D. C. completed several separate analyses of the GSLP data base. The first related to the hypothesis that there is a strong inverse correlation between increasing levels of higher education achievement and the default rates of borrowers at these levels. Analysis showed that this hypothesis is partially sustained but that other factors such as total loan burden, income, race, and marital status are much more highly correlated with default than is academic persistence.

The second analysis attempted to assess the extent of lender attrition in the Federally Insured Student Loan Program. Results of this analysis show that the total number of active lenders in FISLP increased to a peak of 5,989 in FY 1972. In FY 1973 the number declined by 4 percent and in FY 1974 by another 10 percent. During this period when total lender participation declined by 14 percent, participation by Proprietary schools acting as direct lenders increased from 18.6 percent of all FISLP loans in FY 1972 to 25.3 percent in FY 1974. Analysis also indicated that decline in the total number of participating lenders was greatest among medium-size lenders ($25,000-$250,000 of total loan amount) but that participation by larger lenders (over $1 million) was essentially unchanged between FY 1972 and FY 1974.

The third analysis screened high default rates by borrowers attending institutions which are direct lenders under the Program through FY 1975. Such institutions are primarily Proprietary schools but numerous private, non-profit institutions are included. With screening criteria set at a minimum 15 percent default rate and at least $100,000 in disbursed loans, over 300 institutions appeared on the list. About two-thirds of these were Proprietary institutions and about two-thirds of these were geographically located in OE Regions VI and IX. The number of "very high" default institutions (over 30 percent) was less than 100 and, of these, only about half, or 50, had significant loan volume.

Ongoing and Planned Evaluations:

FISLP is utilizing a Research Data Base an initial version of which was funded by OPBE. The RDB provides historical program data from a sample which is representative of the entire FISLP file to December 31 of the previous calendar year (1975). The RDB can produce basic analysis of the characteristics of borrowers and defaulters, either over the life of the Program or for an individual fiscal year. The RDB also contains State Guarantee Agency data which, unlike FISLP borrower and defaulter data, is not considered to be representative of State Guarantee agencies as a group. Such State Guarantee Agency data is being validated and refined.

FISLP is utilizing the Research Data Base as part of the input for the Planning and Budgeting Model which projects operating Program characteristics and costs for current and following year budgets submitted annually to Congress and for the Five-Year Plan which is utilized by DHEW and the Office of Management and Budget. The most important assumptions utilized by the Model are the annual interest benefit and special allowance costs and the costs of insurance and reinsurance of claims for default, death, disability, and bankruptcy. Important income assumptions included in the Model are income from insurance premiums charged on each new loan and income from collections on loans previously defaulted. The accuracy of the model and the validation of data utilized for its assumptions will continue to be evaluated by OGSL with OPBE assistance.

A contract has also been awarded to Cresap, McCormick, and Paget for a Study of Selected Lenders and Borrowers in the Federally Insured Student Loan Program. The focus of this study will be the approximately 200 Proprietary schools and institutions of higher education which are direct lenders as well as those banks with which they have a primary relationship. The study will assess the policies and procedures of such institutions with respect to the recruitment, admission, and retention of borrowers; will analyze the academic achievement and post-educational outcome.

Sources of Evaluation Data:

Office of Guaranteed Student Loans, Loan Control Master File, FY 1968-75.

Office of Guaranteed Student Loans, Research Data Base.

RMC Research Corporation, Bethesda, Maryland, Survey of Lenders, December, 1975. OPBE-contracted study.

Systems Group, Inc., Washington, D. C., Analyses of GSLP Data Base (preliminary data). OPBE-contracted study.

Higher Education Research Institute, Preliminary Tabulations from Studies on Impact of Student Financial Aid Programs, Phase 2, Study A, OPBE Contract #300-75-0382.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

National Direct Student Loan Program

Legislation:

Title IV, Part E of the HEA 1965 Public Law 89-329, as amended. 3/

Expiration Date:

June 30, 1981

Funding History:	Year	Authorization 1/	Appropriation 2/
	1966	$179,300,000	$181,550,000
	1967	190,000,000	192,000,000
	1968	225,000,000	193,400,000
	1969	210,000,000	193,400,000
	1970	325,000,000	195,460,000
	1971	375,000,000	243,000,000
	1972	375,000,000	316,600,000 4/
	1973	400,000,000	293,000,000 5/
	1974	400,000,000	298,000,000
	1975	400,000,000	329,440,000
	1976	400,000,000	331,960,000
	1977	480,000,000	Deferred

1/ Authorization for Federal capital contributions to loan funds only. In addition, a total of $25,000,000 was authorized for loans to institutions from Fiscal Year 1959 through the duration of the Act.

2/ Appropriation includes contributions to loan funds, loans to institutions, and Federal payments to reimburse institutions for teacher/military cancellations.

3/ Prior to FY 1973, the program was known as the National Defense Student Loan Program. Title II of NDEA of 1958 as amended (P.L. 85-864)

4/ Actual FY 1972 appropriation was $316,600,000. However 23.6 million was mandated to be used during FY 1973. The difference of $293.0 million was made available for use during FY 1972, of which $286 million was for contribution to loan funds.

5/ Of this amount $269,400,000 was available for use in FY 1973 and $23,600,000 was mandated for FY 1974.

Program Goals and Objectives:

The objective of the Program is to allocate funds to postsecondary institutions for the purpose of making long-term, low-interest loans to students with financial need. These loans are to provide lower-income students with an additional source of funds for access to postsecondary education and to help provide middle-income students with another source of funds with which they may choose a broader range of institutions. Such loans complement other forms of student financial assistance such as Basic and Supplemental Educational Opportunity Grants, College Work-Study, and Guaranteed Student Loans.

Program Operations:

Funding is initially allotted to States by means of an allotment formula and by regulation. Funding levels for institutions within each State are recommended by regional review panels consisting of OE Program Officers from the regional and national offices and financial aid officers selected from institutions in that region. Recommended funding levels are generally in excess of the annual NDSL allotment for a State. In such cases, the entire group of institutions within a State receives less than 100 percent of their panel approved amount. However, each institution within that group receives a pro-rated reduction in its allocation which, in percentage, is equal to that of every other institution in the State. Institutions often distribute NDS loans in conjunction with other forms of financial aid and financial aid officers "package" these various aid components in different ways depending on available funds and student circumstances. Students may borrow a total of: (a) $2,500 if they are enrolled in a vocational program or if they have completed less than two years of a program leading to a bachelor's degree; (b) $5,000 if they are undergraduate students and have already completed two years of study toward a bachelor's degree (this total includes any amount borrowed under the NDSL for the first two years of study); (c) $10,000 for graduate or professional study (this total includes any amount borrowed under the NDSL for undergraduate study). Upon leaving the institution, students sign a repayment agreement which specifies the duration and amount of repayment. After a nine-month grace period following cessation of studies, the student begins repayment (on a monthly, bimonthly, or quarterly basis), normally over a ten year period. The borrower's ten year repayment period may be deferred not to exceed three years for service with VISTA, the Peace Corps, or military services.

A percentage of the total loan amount may be cancelled for individuals providing special services in specific teaching areas and for members of the Armed Forces of the United States' serving in areas of hostility.

Program Scope:

In Fiscal Year 1974, 2,643 institutions participated in the program. Institutional participation increased during the Fiscal Years 1975 and 1976 with 3,167 institutions participating in the latter fiscal year. The estimated average loan per student during these years ranged from $650 in Fiscal Year 1974, to $690 in Fiscal Years 1975 and 1976. Loans for the required matching institutional capital contributions were made to 101 institutions during Fiscal Year 1974 and 90 institutions during Fiscal Year 1975. Unedited data for Fiscal Year 1974 shows that new loan cancellations at the 10% rate were received by 76,928 borrowers and 115,392 by continuing borrowers. The number of new borrowers receiving cancellations at the 15% rate was 49,453 while 32,970 continuing borrowers received cancellations for a total of 274,743.

For Fiscal Year 1976 the aggregate U.S. requests for new Federal capital contributions exceeded final recommended amounts by 38%; while the actual program appropriation was sufficient only to fund 54% of the recommended funding level nation-wide.

Program Effectiveness and Progress:

Program effectiveness can be partially measured by analysis of the distributions of funds for various characteristics of student borrowers. Results from a study of higher education institutions included in the Higher Education Panel for Fiscal Year 1975 indicate that of all borrowers, 34 percent were dependent students from families with income less than $7,500. Also, borrowers are made up of equal amounts of men and women. Finally, less than 30 percent of all borrowers were from minority or ethnic groups.

Of all borrowers 6.1% were likely to be graduate students and 17.0% students classified as independent. 1/ Further breakdowns by type of institutions for each of these categories are indicated in Table II. (Previously, undergraduate independent and graduate students were included in gross family income categories. They were classified as low-income students on the basis of their own, rather than their families', income.)

These distributions appear to indicate that NDS loans are, in fact, going primarily to lower and lower middle income students although not to the same degree as funds awarded under the Basic Educational Opportunity Grants, College Work-Study or Supplemental Educational Opportunity Grant Programs.

The attached table indicates the amount and percentage of total college costs represented by loans of various types. The table shows, for example, that the dollar amount of loans generally increases as institutional cost increases. There is a slight decrease in the percentage dependence on loans at institutions with total costs above $3,500. It is also apparent that percentage dependency on loans generally decreases at parental incomes above approximately $12,500. At the higher cost institutions attended by students in the two highest income categories, percentage dependence on loans is only 10.4 and 3.0 percent, respectively. The table reveals that students with

1/ The HEP Survey did not include proprietary or public vocational schools which accounted for 2.8% of all student borrowers in FY 1974.

Table I

Amount of Loan and Percent of Total College Costs for Student Loans by Source, Parental Income and Institutional Cost for First-Time, Full-Time, Students
Fall 1975

Institutional Cost and Source	Parental Income $0 - 6,000		$6,001 - 10,000		$10,001 - 15,000		$15,001 - 20,000		$20,001 - 30,000		$30,001 or More	
	Amount	%	Amount	%	Amount	%	Amount	%	Amount	%	Amount	-%
Cost: $0 - 1,500		(2,123)		(2,143)		(2,164)		(2,294)		(2,527)		(2,938)
GSLP	60	2.8	69	3.2	89	4.1	93	4.1	63	2.5	24	0.8
NDSL	69	3.3	84	3.9	67	3.1	55	2.4	26	1.0	8	0.3
Other Loans	40	1.9	43	2.0	57	2.6	57	2.5	47	1.9	23	0.8
Total Loans	169	8.0	196	9.1	213	9.8	205	8.9	136	5.4	55	1.9
Cost: $1,501 - 2,000		(3,337)		(3,443)		(3,528)		(3,627)		(3,774)		(3,960)
GSLP	248	7.4	290	8.4	381	10.5	315	8.7	249	6.6	68	1.7
NDSL	186	5.6	226	6.6	179	5.0	160	4.4	82	2.2	20	0.5
Other Loans	65	1.9	74	2.1	88	2.5	126	3.5	88	2.3	38	1.0
Total Loans	499	15.0	590	17.1	648	18.1	601	16.6	419	11.1	126	3.2
Cost: $2,001 - 2,500		(4,153)		(4,168)		(4,253)		(4,245)		(4,425)		(4,697)
GSLP	191	4.6	216	5.2	252	5.9	242	5.7	165	3.7	56	1.2
NDSL	353	8.5	348	8.3	310	7.3	228	5.4	97	2.2	18	0.4
Other Loans	87	2.1	85	2.0	117	2.8	130	3.1	102	2.3	42	0.9
Total Loans	631	15.2	649	15.6	679	16.0	600	14.1	364	8.2	116	2.5
Cost: $2,501 - 3,000		(4,424)		(4,471)		(4,595)		(4,878)		(5,097)		(5,130)
GSLP	222	5.0	251	5.6	280	6.1	291	6.0	214	4.2	68	1.3
NDSL	301	6.8	300	6.7	245	5.3	201	4.1	94	1.8	16	0.3
Other Loans	109	2.5	120	2.7	127	2.8	139	2.8	115	2.3	52	1.0
Total Loans	632	14.3	671	15.0	652	14.2	631	12.9	423	8.3	136	2.7
Cost: $3,001 - 4,000		(4,959)		(5,029)		(5,212)		(5,395)		(5,535)		(5,333)
GSLP	194	3.9	209	4.2	271	5.2	311	5.8	297	5.4	79	1.5
NDSL	410	8.3	489	9.7	407	7.8	274	5.1	122	2.2	15	0.3
Other Loans	154	3.1	119	2.4	121	2.3	134	2.5	159	2.9	67	1.3
Total Loans	758	15.3	817	16.2	799	15.3	719	13.3	578	10.4	161	3.0

NOTE: The number in parentheses is the mean Total College Costs for the corresponding Parental Income and Institutional Cost categories in dollars.

Source: Preliminary tabulations from studies on the Impact of Student Financial Aid, Higher Education Research Institute, Los Angeles, California, Office of Planning, Budgeting, and Evaluation Contract #300-75-0382.

approximate parental incomes of under $15,000 utilize NDSL loans more heavily while larger GSLP utilization is the case for those with family incomes above $15,000. There is no combination of family income and institutional cost for which loans exceed 20 percent of total costs. This would appear to indicate a relatively low preference for borrowing by the college-going population as a whole, and a surprisingly low preference by higher income groups attending expensive institutions.

With regard to the effectiveness of program operations, despite efforts taken by the Office of Education and Congress to reduce the likelihood of default, the NDSL delinquency rate continues to be of concern. OE Program data shows a national potential default rate of 14.7%, and delinquency rate of 10.2%, as of June 30, 1974.

Ongoing and Planned Evaluation Studies:

The Higher Education Research Institute of Los Angeles, California is currently engaged in the design of a study which will attempt to assess the impact of OE-sponsored student assistance programs.

TABLE II

Characteristics of Participants in the National Direct Student Loan Program by Type and Control of Institution, 1974-75*
(In percentages)

		Public Institutions			
Characteristics	Total All Institutions	Total	Two-Year	Four-Year	University
Dependent Undergraduates Family Income					
Less than $7,500	30.8	34.0	38.0	35.8	29.7
$7,500 - 11,999	24.7	23.5	17.3	25.0	24.1
More than 11,999	21.4	13.7	5.9	14.7	15.6
Independent Undergraduates	17.0	22.8	38.8	19.8	20.3
Graduate Students	6.1	6.0	0	4.6	10.3
	100.0	100.0	100.0	100.0	100.0
		Private Institutions			
Dependent Undergraduates Family Income					
Less than $7,500		26.4	32.2	28.0	19.3
$7,500 - 11,999		26.3	26.8	27.6	21.6
More than 11,999		32.1	25.8	32.4	32.6
Independent Undergraduates		8.8	15.2	9.1	6.2
Graduate Students		6.4	0	2.8	20.3
		100.0	100.0	100.0	100.0

* Based on findings of the Higher Education Panel Survey No. 27.

Sources of Evaluation Data:

U.S. Department of Health, Education, and Welfare, Office of Education, Bureau of Higher Education. Factbook, 1974 Washington, D. C., 1973.

Higher Education Panel Reports, Number 18, American Council on Education. The Impact of Office of Education Student Assistance Program Fall, 1973. Washington, D. C., April 1974.

Program files, Division of Student Support and Special Programs.

Higher Education Research Institute, Los Angeles, California, Office of Planning, Budgeting, and Evaluation Contract #300-75-0382.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Upward Bound Program

Legislation:

Higher Education Act of 1965. Title IV-A Subpart 4; Public Law 89-329; as amended by Public Law 90-575; as amended by Public Law 91-230; as amended by Public Law 92-318.

Expiration Date:

September 30, 1979

Funding History:

Year	Authorization	Appropriation
1965	*	*
1966	*	*
1967	*	*
1968	*	*
1969	*	*
1970	$ 56,680,000	$29,601,000
1971	96,000,000	30,000,000
1972	96,000,000	31,000,000 2/
1973	100,000,000	38,331,000
1974	100,000,000	38,331,000
1975	100,000,000	38,331,000
1976 1/	100,000,000	38,331,000
1977	--	Deferred

* There were no specific authorizations or appropriations for Upward Bound during these years. This was an OEO agency allocation made from the total appropriations for Title II-A of the Economic Opportunity Act of 1964.

1/ Represents budget authority. Beginning in FY 1970 authorized funds were combined for the three programs of Special Services, Upward Bound, and Talent Search. A total of $100,000,000 is authorized for the three programs in FY 1976 plus Educational Opportunity Centers Program.

2/ Excludes $4 million supplemental appropriation for veterans projects.

Program Goals and Objectives:

The Upward Bound Program is intended for youths from low-income families who have academic potential, but who may lack adequate secondary school preparation. Without the intervention of the program, these students would not have considered college or other postsecondary enrollment, nor would they have been likely to have gained admission to or successfully completed college or other postsecondary schools. The program is designed to generate skills and motivation necessary for success in education beyond high school.

The authorizing legislation for the Upward Bound Program and program regulations use several important terms to describe the target population and goals for the program. Such critical terms or phrases as "academic potential," "inadequate secondary school preparation," and "skills and motivation necessary for success in education beyond high school" are difficult to define. Inadequate definition may cause wide and conflicting interpretation of the target population and the lack of specificity makes it difficult to measure the attainment of program objectives.

The General Accounting Office study of Upward Bound 1/ also found that the program lacked measurable objectives that clearly stated the expected end results of the program for student performance. GAO observed that local project objectives were usually vague and did not express in a measurable way the kinds and amount of change expected in students' academic skills and motivation.

In those cases where improvements in program operations can be made on the basis of the studies noted above, they have been included in the revision of program operations.

Program Operations:

Upward Bound is designed for the low-income high school student who, without the program, would not have considered college or other postsecondary school enrollment nor would he have been likely to have gained admission to and successfully completed a two or four-year college or other postsecondary school. In a typical year an Upward Bound student is a resident on a college or university, or secondary school campus for a six to eight-week summer session. In the academic year he may attend Saturday classes or tutorial/counseling sessions or participate in cultural enrichment activities. During his junior and senior years he explores options for the postsecondary program best suited to his needs.

Upward Bound looks for the individual who has academic potential (a demonstrated aptitude) for a career which demands postsecondary education, but whose inadequate high school preparation prevents him from meeting conventional requirements for admission to a college, university, or technical institute. The program is designed to generate skills by means of remedial instruction, altered curriculum, tutoring, cultural exposure and encouragement and counseling.

Some program aspects include (1) coordination, where feasible, of Talent Search, Upward Bound, Educational Opportunity Centers, and Special Services for Disadvantaged Students; (2) projects to help students overcome motivational and academic barriers to acceptance at, and success in, a two or four-year college or other postsecondary school.

Upward Bound is a project grant program which works primarily through institutions of higher education and, in exceptional cases, secondary schools to provide educational services to disadvantaged youth. The program is administered chiefly through the regional offices and, in part, through the OE central office. Awards are made competitively. The program is forward-funded and no matching grants are required of grantees.

In the program year from 1 July 1973 to 30 June 1974, 416 Upward Bound projects reported serving 51,755 clients at a cost of $38.3 million. Of the 416 projects, 67 served approximately 12,200 veterans and 9 special demonstration projects served approximately 980 students. The data from the 333 Upward Bound "regular" projects showed that approximately 10,733 seniors were served with approximately 7,588 of these seniors directly entering postsecondary education. The average cumulative cost (excluding non-Federal contributions) per postsecondary education enrollee, some of whom were served by Upward Bound for three years, was approximately $3,054. The marginal cumulative cost per postsecondary education enrollee was approximately $7,391 (this figure was calculated by estimating the number of Upward Bound enrollees who would not have entered postsecondary education without the Upward Bound services). The average yearly total cost per project (excluding in-kind contributions) was $111,986 for the 1973-74 program. For the 1973 summer program, the estimated cost was $63,769 per project or approximately $830 per student served; for the 1973-74 academic year program, the estimated average cost was $51,863 or approximately $700 per student served. Over 90 percent of these monies were contributed by federal sources. There was considerable variation in the cost figures reported for projects. The range of reported total costs, excluding in-kind contributions, was from $9,782 to $175,000 during the summer program and from $19,500 to $134,000 during the academic year. Non-federal support ranged from $0 to well over $100,000, with the most projects reporting no non-federal funding. Projects reported receiving an average of $9,149 worth of in-kind contributions such as office space, facilities, and personnel services, although these estimates may be low.

Program Scope:

In Program Year 1975-76, 403 Upward Bound projects were funded (2 new projects and 401 continuing projects) with an average grant of $95,000. Numbers of students aided by Upward Bound in Program Year 1975-76 are not yet available, but in Program Year 1974-75 the program aided an estimated 48,603 students (16,299 new and 32,304 continuing). (The 48 Special Veterans projects also provided Talent Search type services to approximately 18,000 additional persons.) An estimated 12,421 students were graduated from high school in calendar year 1975. About 74 percent of the graduates planned to attend college or other postsecondary institutions. Upward Bound also expects to assist over 10,000 veterans in FY 1975-76 with Talent Search type services. 2/

The target population of individuals who can benefit from the services of Upward Bound is characterized by persons bearing many of the same traits or characteristics as persons in the target population for Talent Search. Both programs attempt to expand the educational opportunities of persons having low incomes.

The target population in 1970 included 3,880,000 persons whose family income was below the poverty cutoff, whose highest grade attended was between grades 6 and 12, and who were between 14 and 24 years old. Of the 203,212,000 persons in the U.S. in 1970, 38,600,000 persons, or 19 percent of the U.S. population, were between 14 and 24 years old. Of these 38,600,000 persons, grades 6 through 12 were the highest grade attended for 28,300,000 persons, or 73 percent. These 28,300,000 persons were further classified according to poverty status. Of these 28,300,000 persons, the family incomes in 1969 of 3,880,000 were below the poverty cutoff. Thus, in 1970 the Upward Bound and Talent Search target population included 3,880,000 persons, or two percent of the total U.S. population.

Of the 3,880,000 persons included in the target population, 54 percent were females and 46 percent males, compared with the 51 percent female and 49 percent male composition of the total U.S. population. The composition of the target population by ethno-racial background was approximately 54 percent white, 36 percent black, and 10 percent Spanish descent. There were also 49,000 American Indians and 26,000 persons of other ethno-racial backgrounds estimated in the target population, but these two categories combined contained only two percent of the target population.

The target population declined from 3,880,000 in 1970 to 3,340,000 in 1974. By ethno-racial background, the target population of whites was estimated to have declined from 2,083,000 to 2,045,000 persons, and the target population of blacks declined from 1,351,000 to 1,213,000. Even accounting for the 540,000 person decline in the target population from 1970 to 1974, the percent of the target population served by Upward Bound and Talent Search programs in the 1973-74 program year remained small; 4.8 percent for blacks, 1.3 percent for whites, and 3.6 percent for the total population.

The coverage of the target population has also been estimated by OE region, and the coverage has been found to vary from a low of two percent in Region IV (Atlanta) to a high of eleven percent in Region X (Seattle), and averages about four percent in the U.S. (based upon a target population estimated at 3,880,000).

(This discussion of the target population is drawn from the recent study of the Upward Bound and Talent Search programs. 3/)

Program Effectiveness and Progress:

The latest available program data 2/ shows that in 1975 over twelve thousand (12,421) Upward Bound participants completed high school and that about 70 percent of these were planning on entering some form of postsecondary education--mostly college (69 percent). About 8,500 (69 percent) of the 1975 graduates actually enrolled in college the same year. Although the recent General Accounting Office study of Upward Bound reported a 10 percent overestimate of college entrance by the program, this was based on a 15 project sample selected by GAO. These 15 projects, however, were not selected by scientific sampling techniques and cannot be considered representative of the Upward Bound program. 1/

The recent evaluation of Upward Bound 4/ provided the most comprehensive and scientifically accurate statistics about the program, on the nature of the students in the program, and their educational outcomes. These statistics were based on a national sample of more than 3,400 Upward Bound students in the tenth, eleventh, and twelfth grades and a comparison group of about 2,000 similar students who did not participate in the program.

A descriptive profile of Upward Bound students as found by the study appears below:

Variable	Percentages
Sex	
Male	44 %
Female	56 %
Race	
Black	61 %
White	18 %
Other	20 %
Indeterminate	1 %
Age	
15	7 %
16	22 %
17	36 %
18	26 %
19	6 %
Other	3 %

Variable	Percentages
Poverty Level *	64.5 %
Not Poverty Level	22.5 %
Indeterminate	13 %
Academic Risk **	45 %
Not Academic Risk	54 %
Indeterminate	1 %
Grade Level	
10	14 %
11	38 %
12	45 %
Indeterminate	3 %

* Poverty status was assigned to all students with family income under $4,000; $4,000-5,999 if 4 or more children; $6,000-7,999 if 8 or more children; above $8,000 all were non-poor.

** Student was classified academic risk if his ninth grade academic GPA placed him in the bottom half of his class. If academic GPA could not be computed then a student was classified as an academic risk only if he failed to pass 20 percent or more of the academic courses which he attempted.

Females and blacks predominated, most Upward Bound students were 16 to 18 years old, almost two-thirds were below the poverty level, and slightly more than half were judged not to be academic risk students. Almost half were twelfth graders at the time of survey.

Upward Bound students were compared in several ways to comparison students who had not participated in the program. The most important comparisons were for high school continuation and completion and entrance to postsecondary education. Upward Bound participation was found to be related to within year high school retention/completion (fall 1973 to spring 1974), and, somewhat less so, to high school retention/completion between fall 1973 and fall 1974. Between year high school retention/completion (fall 1973 to fall 1974) was found to be about 90 percent for the Upward Bound group and almost as high (89 percent) for the comparison students. Although some of these within year and between year differences for tenth, eleventh, and twelfth grade Upward Bound students were of statistical significance they were not of practical, educational significance with one exception. The exception was students who entered Upward Bound in the tenth grade or earlier; substantially more of these students (93.4 percent) returned to high school the next fall than did the tenth grade comparison group (85.5 percent) for a difference in favor of the Upward Bound group of about 8 percent. Such a difference approaches practical, educational significance. Overall, however, the statistical probability of high school completion for Upward Bound participants is not more than for the comparison group, with a probability of about 70 percent for both groups.

A pronounced difference in entrance to postsecondary education was found as a function of Upward Bound participation. Length of participation in Upward Bound was also positively related to postsecondary enrollment. Overall, Upward Bound high school graduates in the study sample entered some form of postsecondary education at a rate of about 71 percent, whereas the comparison group of high school graduates entered at a rate of about 47 percent. Graduates who entered Upward Bound by the tenth grade entered postsecondary education at a rate of 78 percent, but those who joined Upward Bound in the eleventh or twelfth grades had a significantly lower postsecondary enrollment rate of about 69 percent. Both groups, of course, showed large positive differences over the comparison group.

The above rates of postsecondary entrance are for those Upward Bound and comparison students who have completed high school. Probabilities for postsecondary enrollment are also given in the study calculated by the high school grade at the time of entrance to Upward Bound. Unlike the rates of entrance for the high school graduates reported above, these probabilities include high school attrition by the student groups. The comparison students (non-participants in the program) had a probability, overall of postsecondary enrollment of about .32, whereas the probabilities for students who entered Upward Bound by the tenth (or earlier), eleventh, and twelfth grades were .60, .53, and .47, respectively. These probabilities are of practical educational significance both between the Upward Bound and comparison groups overall, and between those who entered Upward Bound by the tenth grade or earlier and those who entered later. Clearly, Upward Bound has large positive influence on postsecondary entrance, and the earlier (or longer) the student is exposed to Upward Bound the greater the impact on access to postsecondary education.

The behaviors associated with financial aid were different for Upward Bound and comparison students. The rate of application for financial aid was substantially greater for Upward Bound (88%) students than for comparison (53%) students. Although Upward Bound aid applicants do not receive more offers of aid, they do receive more adequate offers, generally in the form of larger grants. The average Upward Bound aid recipient obtained $1,685 in aid with $1,134 in the form of a grant. The aid package received by the average comparison student totaled $1,224 with $622 in the form of a grant. These findings suggest that Upward Bound is providing supportive, advocacy, and advisory services that facilitate postsecondary entrance.

The evaluation of Upward Bound obtained the types of postsecondary schools that the Upward Bound and comparison group students entered in fall 1974. These results are compared in the table below.

	Upward Bound %	Comparison Group %	Standard Error of the differences between each comparison %
Four-Year Colleges	75.7	45.1	5.2
Two-Year Colleges	17.2	31.3	5.8
Vocational, Technical and Business Schools requiring a high school diploma	3.3	8.0	2.8 *
Vocational, Technical and Business Schools not requiring a high school diploma	4.8	16.3	3.9

* Not statistically significant. All other comparisons are statistically significant at twice the standard error which results in a 95 percent level of confidence for these comparisons between the two groups.

Upward Bound enrolled a much larger proportion of its students in four-year colleges than did the comparison group of students, and fewer in two-year colleges and non-collegiate vocational, technical, and business schools (except for such schools that require a high school diploma, where the difference is not large enough to be statistically significant).

Upward Bound is charged by its legislation with generating in the program participants the skills and motivation necessary for success in education beyond high school. This goal is the largest remaining question about the effectiveness of Upward Bound--as expressed in the college performance and retention of former program participants. The GAO review of the program data on college graduation and retention of former Upward Bound students concluded that the program was substantially overestimating the college retention of these students. This issue has not yet been addressed in an evaluation of the program. A follow-up study of the Upward Bound and comparison student samples is planned for FY 1977. This follow-up should provide the best statistics available to resolve this question.

Ongoing and Planned Evaluation Studies:

Evaluation of Upward Bound: A Follow-Up

A follow-up evaluation of the Upward Bound program, employing the sample of students studied in the recent evaluation of Upward Bound 4/, by the Research Triangle Institute began near the end of FY 1976. This evaluation includes a post card and telephone survey of students to determine empirical answers to questions concerning postsecondary persistence. Data collection, analyses, and reporting are scheduled for completion by Fall, 1977.

An Evaluation of Demonstration Models for the Special Programs for Students from Disadvantaged Backgrounds

The major purpose of this study is to develop and evaluate more effective compensatory education techniques, or models to improve program impact on its participants. This project, which began in September 1976, comprises about two years for development of intervention models, field implementation and evaluation plans, and field site selection and staff training. Beginning in September 1978 there will be a three year field trial of the models with impact data extracted annually for evaluation and results reported annually. There will also be a final year of data synthesis and analysis with results reported for the whole effort. The results will be applied to the existing Special Programs, and will furnish successful models to state and local education agencies and higher education institutions for use in their own efforts with disadvantaged students at the high school and college levels.

The model development report and design for the project will be completed in mid-1977, with the first evaluation report due by 2-28-80 and the second impact evaluation report due by 2-28-81. The final report for the complete experiment is due by 6-30-82.

Contractor: System Development Corporation, Santa Monica, California.

Sources of Evaluation Data:

1. General Accounting Office, *Problems of the Upward Bound Program in Preparing Disadvantaged Students for a Postsecondary Education*, March 7, 1974, Washington, D. C.
2. *Upward Bound Program files*.
3. *Estimates of the Target Populations for Upward Bound and the Talent Search Programs*, Volume II of *A Study of the National Upward Bound and Talent Search Programs*, Research Triangle Institute, Research Triangle Park, North Carolina, 1975.
4. *Evaluation Study of the Upward Bound Program*, Volume IV of *A Study of the National Upward Bound and Talent Search Programs*, Research Triangle Institute, Research Triangle Park, North Carolina, 1976.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Talent Search Program

Legislation: | **Expiration Date:**

Higher Education Act of 1965. Title IV-A, Subpart 4; Public Law 89-329; as amended by Public Law 90-575; Public Law 91-230; Public Law 92-318.

October 1, 1979

Funding History:	Year	Authorization	Appropriation
	1966	*	$2,000,000
	1967	*	2,500,000
	1968	*	4,000,000
	1969	$ 4,000,000	4,000,000
	1970 1/	56,680,000	5,000,000
	1971	96,000,000	5,000,000
	1972	96,000,000	5,000,000
	1973	100,000,000	6,000,000
	1974	100,000,000	6,000,000
	1975	100,000,000	6,000,000
	1976	100,000,000	6,000,000
	1977	200,000,000	Deferred

* Such sums as may be necessary.

1/ Represents budget authority. Beginning in FY 1970 funds authorized were combined for the Special Programs for Students from Disadvantaged Backgrounds. In FY 1977 a total of $200,000,000 is authorized for this Program.

Program Goals and Objectives:

Talent Search programs are intended to identify qualified youths of financial or cultural need with an exceptional potential for postsecondary educational training and encourage them to complete secondary school and undertake postsecondary educational training. The program also publicizes student financial aid programs and encourages secondary-school or college dropouts of demonstrated aptitude to reenter educational programs. The goal of this program is to equalize postsecondary educational opportunities for disadvantaged students.

The authorizing legislation for the Talent Search Program, and the program regulations, use several important terms to describe the target population and goals for the program. Such critical terms or phrases as "cultural need", "exceptional potential", and "demonstrated aptitude" are difficult to define. Inadequate definition may cause wide and conflicting interpretation of the target population, and the lack of specificity makes it difficult to measure the attainment of program objectives.

The lack of specific, measurable objectives also raises questions concerning the evaluative criteria applied to individual projects and the total program. Such imprecise and unmeasurable objectives can lead to vaguely defined programs with obscure effects.

Program Operations:

Talent Search is a project grant program which works through institutions of higher education, public and private agencies and organizations to provide services to disadvantaged youth in secondary schools or who are dropouts. The program is managed principally through the regional offices and partly through the OE central office. Awards are made competitively. The program is forward-funded and no matching grants are required of grantees.

The local projects operate a recruiting effort to identify youths who need the program's services and counsel them about opportunities for furthering their education.

A recent study of the program 1/ showed that all project directors expressed a fundamental philosophic concern with educational opportunities for the minorities and the educationally disadvantaged. Their stated objectives focused on improving this group's educational and vocational status and self-perception, and increasing school- and community-awareness of their needs. Given this common base, all projects provided services intended to encourage clients to aspire to a postsecondary education.

The number and kinds of services provided clients varied considerably across projects classified by size, ethnicity and location of majority of clients, type of host institution, age, and USOE region location. However, all projects generally: encouraged the completion of high school and the attainment of a postsecondary education; provided information on educational opportunities and financial assistance; and assisted in the mechanics of applying for admission and financial aid. To a more limited extent, projects provided follow-up activities and assistance to insure that clients actually: enrolled in postsecondary institutions; reached the campus and began their studies; and became adjusted and oriented to the campus.

In receiving these services, about one-sixth of the clients had had only one contact with Talent Search, about one-half had had two to five contacts, and about one-third had had six or more contacts. 1/

Program Scope:

The target population of this program is more than four million persons. This population includes all persons from 14 to 27 years of age, whose highest grade attended in school was between grade 6 and grade 12, and whose family income is below the poverty level. Only about 4 percent of this population is now being served by the Talent Search program. 2/ (This definition does not attempt to cope with the problem of including possible clients due to "cultural need".)

During academic year 1975-76, 116 projects were funded with the $6 million appropriation; of these projects 111 are continuing and 5 are new. Average cost per project was about $52,000, and average cost per client was estimated by the program at $41, based on the estimated total of 146,000 clients to be served. 3/

Clients from many ethnic groups were served, i.e., blacks, American Indians, Orientals, Mexican-Americans, Puerto Ricans, whites, others of Spanish descendent, and Eskimos. Forty-one percent of the clients were black; the remaining clients were divided approximately equally between American Indians, Mexican-Americans, and whites. Approximately two-thirds of the clients were ages 17 or 18, and about one-half were enrolled in grade 12. More females than males were served. Most clients were unemployed, and about half had family incomes in 1973 of less than $6,000. A small portion, roughly 10 percent, had family incomes of $9,000 or more. For most clients, Talent Search was the first special educational assistance received. 1/

Program Effectiveness and Progress:

In the 1975-76 academic year, 46,895 clients were placed in postsecondary education. About 21,000 actual or potential dropouts were persuaded to return to school or college. Slightly more than 4,000 were enrolled in high school equivalency programs. In addition, 9,073 veterans were placed in postsecondary education and 6,830 were enrolled in high school equivalency programs through the Talent Search effort of the Special Veterans component of the Upward Bound program. 3/

The recent evaluation 1/ of the Talent Search Program shows that, given the fuzzy definition of the target population and the lack of measurable objectives, virtually any person requesting assistance was served--most of whom were determined to be eligible by virtue of low income and related criteria (approximately 80 percent). The required "exceptional potential" criterion was applied to approximately a third of the clients. When this criteria was applied, it was often defined as a non-academic measure or personal judgment. Several projects, however, reported the use of traditional academic measures (test scores, grades, class rank, etc.) in determining "exceptional potential." Thirty-five percent of the project directors expressed dissatisfaction with the guidelines for defining the target population. Most of this dissatisfaction was directed at the "restrictive" and "unrealistic" nature of the low-income criteria. (These income criteria could be bypassed in many instances by applying the cultural need criterion.)

Project directors reported in the study much confusion with accounting for project achievements due to the ambiguity over the official OE definition of a program "client." Very few project directors (9 percent) reported using the OE definition of a client. Thirty-four percent of the respondents did not follow the "2 contact" requirement--18 percent required only 1 contact and 16 percent required at least 3 contacts. Compliance with the requirement that a contact be defined as "sustained counsel by the project director or by his representative" also varied across projects. More specifically, 38 percent of the directors reported that their definition of a contact included telephone contacts or group meetings or letter contacts. Several raised the issue: since clients were often served through a single contact, and since a great deal of staff was utilized in letter or telephone contacts, why should these interactions not be counted as legitimate contacts?

The study of the program assessed project files at grantee sites to determine their adequacy and to validate program data. The content and organization of the client record files varied considerably across projects. Files in certain projects were comprehensive and complete and data were collected and filed in an organized manner; whereas the files in other projects contained little information, often collected and filed in a haphazard fashion. Overall, client records and project files were in less than satisfactory condition. Most files generally contained such basic descriptive data as the client's age, sex, ethnicity, and grade level. However, data critical to determining a client's eligibility for the program, his application for and attainment of financial aid or postsecondary admission, his strengths and weaknesses, and his achievement of other Talent Search objectives were often incomplete or missing.

The limited degree to which these kinds of information were recorded in the client files, and survey findings of the postsecondary status of former clients, raises a general question as to the effectiveness of Talent Search counseling services and follow-up activities. Approximately three-fourths of the students reported by the projects to have enrolled in postsecondary institutions between 1 July and 31 December 1973 had actually enrolled. And about three-fourths of these verified enrollees were still enrolled in the spring of 1974. (Most of those who were not enrolled in the spring had dropped out of their own choice.) The percent of initial enrollees varied across institution types (higher percents in private as opposed to public institutions), as did the percent of enrollees who remained in the spring (higher percents in four-year as opposed to two-year institutions). It appears, therefore, that greater effort is required to match clients to the institutions where they may most likely fulfill their aspirations. While counselors encouraged clients to apply to institutions where they felt they could be accepted and could handle the challenge in general terms, there appeared to be a need for more academic counseling and better matching of individuals to educational programs. Related to this, there appears to be a tendency for project personnel to recommend a specified set of institutions to clients; while this has certain obvious advantages, it may also limit the educational prospects for program clients.

Costs for the program were also analyzed by the study contractor. The analysis of the sources and uses of funds provided a descriptive profile of the financial characteristics of Talent Search projects. Data summarized for 96 projects indicated that the average total cost, including in-kind payments and contributions, was $74,000 per project for the 1973 program year. Of the $63,700 in cost allocation by sources and uses of funds, 84 percent was funded by USOE; the primary use of those USOE funds was to meet personnel costs, which accounted for 75 percent of the reported costs.

Although the average total costs, including in-kind payments and contributions, was $74,000, individual project total costs ranged from $6,000 to $331,000. Factors analyzed for their contribution to the variation included the number of clients served by the project, the proximity of the clients to the project, and the type of host institution. Of those variables examined, only the association between project costs and the number of clients produced a statistically significant relationship. Including in-kind contributions, Talent Search projects incurred a fixed cost of $42,730 per year and a variable cost of $24.81 per client to implement the program during the 1973 program year. The number of clients in a project explained a majority (55%) of the variation in reported costs per client which ranged from $23 to $481. The analysis showed that a 10 percent increase in the number of clients in a project was associated with a 6 percent reduction in reported cost per client. The relationship between costs per client and project location and population characteristics was not significant.

The recent study of Talent Search verified that about 75 percent of clients reported by Talent Search projects as having enrolled actually did so. This figure is subject to two qualifications: (1) some clients reported to have enrolled, but who did not do so, may have enrolled elsewhere; (2)

some of those who did enroll were clients from the prior program year. The verified number of clients who enrolled in a postsecondary institution in 1973-74, compared with the $6 million of annual program expenditure, means that the Talent Search Program expends about $242 (excluding non-federal contributions) per placement in a postsecondary education institution.

In addition to those already described, a number of Talent Search program strengths and weaknesses were identified by the study:

1. The recruitment strategy appears effective in getting to a sizable number of contacts in the target populations of interest. This strategy involves a concerted effort to motivate an interest in further education among disadvantaged youths.

2. Projects engage in a series of standard services, encompassing dissemination of information, assistance in the application process, obtaining of financial aid, and personal counseling. This appears to be the essence of Talent Search.

3. Effective relationships were developed with a standard group of institutions to which clients applied and which many then attended. This suggests that the program had found institutions responsive to the needs of the disadvantaged.

4. Staff appeared dedicated to program goals and objectives; their cohesion and interaction appeared to be adequate, although there was little staff training provided and considerable staff turnover.

5. The populations being served may merit further consideration, in view of the criteria employed in selecting clients; i.e., Talent Search does not so much seek out eligible or special individuals as it serves those who respond to it. Also, further attention may be given to the usefulness of criteria for selecting clients in terms of potential for continued education.

6. There appears to be a need to make greater efforts to match clients to the institutions where they may most likely fulfill their aspirations.

7. Adequate funding for the activities undertaken appears to be a need in many projects. This is related to an apparent effort on the part of many of them to serve large areas and large populations, and the resulting circumstance that many clients are seen only very seldom.

8. Communication with the USOE regional offices could be enhanced by greater attention to the considerable technical and support needs of individual projects in each region. From the standpoint of both the national and regional offices responsible for Talent Search, there appears to be a need for more extensive monitoring, more technical assistance, provision of feedback to and among individual projects, and development of models which can serve as a means for continuing redefinition and refinement of the program.

9. While positive impact on schools and postsecondary institutions has been perceived as a program accomplishment, a relatively small amount of such impact was reported. Also, some negative impact was reported in that there appeared to be a tendency in some high schools to come to depend upon Talent Search to do the school's job in providing counseling and counseling-related services to disadvantaged students.

10. The qualifications of staff members to provide a number of services may be questioned in view of the findings. Personnel overall appear to be ill-equipped to handle such matters as academic counseling, career guidance, testing, and interpretation of educational and aptitude data.

The study of the Talent Search program was descriptive, including a survey of college registrars to validate the postsecondary enrollment of former Talent Search clients. Since it was a descriptive study, without a control group of youths similar to those served by the program but who did not have access to the program's services, an assessment of the program's impact on high school retention and college entrance cannot be done. Consequently, it cannot be asserted, based on the study, that the program does or does not place students in college who would not have enrolled without the program's services. 1/

Overall, the program seems to suffer from a lack of clear definition and logic and its intervention models or strategies are not well-defined or coherent. These limitations can affect the attainment of program goals.

In those cases where improvements in program operations can be made on the basis of the study, they have been included in revised program regulations.

Ongoing and Planned Evaluation Studies:

A study of the Talent Search program by the Research Triangle Institute, Research Triangle Park, North Carolina, has been completed. The final report is available.

Sources of Evaluation Data:

1. Descriptive Study of the Talent Search Program, Volume III of A Study of the National Upward Bound and Talent Search Programs, Research Triangle Institute, Research Triangle Park, North Carolina, December 1975.

2. Estimates of the Target Populations for Upward Bound and the Talent Search Programs, Volume II of A Study of the National Upward Bound and Talent Search Programs, Research Triangle Institute, Research Triangle Park, North Carolina, May 1975.

3. Program Data.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Educational Opportunity Centers

Legislation:	Expiration Date:
Higher Education Act of 1965. Title IV-A, Subpart 4; as amended by Public Law 92-318; as amended by the Educational Amendments of 1976.	October 1, 1979

Funding History:	Year	Authorization	Appropriation
	1974	1/	$3,000,000
	1975		3,000,000
	1976		3,000,000
	1977		Deferred

1/ $200,000,000 is authorized for the programs that comprise the Special Programs for Students from Disadvantaged Backgrounds.

Program Goals and Objectives:

This program is intended to serve areas with major concentrations of low-income populations by providing, in coordination with other applicable programs and services:

information with respect to financial and academic assistance available for persons residing in such areas desiring to pursue a program of postsecondary education;

assistance to such persons in applying for admission to institutions, at which a program of postsecondary education is offered, including preparing necessary applications for use by admission and financial aid officer; and

counseling services and tutorial and other necessary assistance to such persons while attending such institutions.

The centers also are to serve as recruiting and counseling pools to coordinate resources and staff efforts of institutions of higher education and of other institutions offering programs of postsecondary education, in admitting educationally disadvantaged persons.

While the legislated goals of the Talent Search, Upward Bound and Special Services programs are aimed at individuals in need of project services, the Educational Opportunity Centers are designed to serve residents of major areas with a high concentration of low-income populations. Consequently, any resident of a funded area is eligible to receive project services. This broad mandate, without the restrictions of age, income, disadvantaged cultural or educational backgrounds characteristic of the other Special Programs, offers more latitude to the project to deal with the educational needs of a geographic area without restrictions.

Program Operations:

The Office of Education's national office awards Educational Opportunity Center Program grants, on a cost-sharing basis paying up to 75 percent of the cost of establishing and operating a center, to approved postsecondary institutions, or public and private agencies and organizations. Awards are made competitively for a one-year period.

The Centers operate a recruiting effort to identify persons who need the program's services and to counsel them about opportunities for furthering their education. The Centers also provide remedial and tutorial services to students enrolled or accepted for enrollment in postsecondary schools.

Program Scope:

On June 30, 1975, the Educational Opportunity Centers Program completed its first year of operation. Final reports submitted to the national Office indicated that the twelve funded projects provided various forms of counseling and assistance to 32,239 participants. Eight HEW regions hosted one Center each, while two regions hosted two Centers each. The average grant size was $250,000 and the average cost-per-participant was $93.

I. Total number of participants by Center.		Estimated Cost-Per-Participant
Massachusetts (I)	2,807	$116
New Jersey (II)	1,630	$153
New York (II)	10,982	$27
District of Columbia (III)	1,080	$227

Alabama (IV)	3,552	$70	
Ohio (V)	985	$156	
Texas (VI)	4,843	$52	
New Mexico (VI)	590	$254	
Missouri (VII)	2,615	$124	
Colorado (VIII)	1,096	$228	
California (IX)	1,507	$187	
Washington (X)	552	$297	
	32,239 TOTAL		$93 average cost per student

II. Total participants by ethnicity.

American Indian	699	2%
Black	14,508	45%
Asian American	198	1%
Spanish Descent		
Mexican American	1,629	5%
Puerto Rican	2,459	7%
Other	1,541	5%
White	9,478	29%
Other/Not Reported	1,727	6%
	32,239 TOTAL	100%

III. Total participants by sex

Male	14,244	44%
Female	17,995	56%
	32,239 TOTAL	100%

IV. Age of participants at time of entry into program.

Under 18	4,011	12%
18 - 24	14,509	45%
25 or Over	12,160	38%
Not Reported	1,559	5%
	32,239 TOTAL	100%

V. Number of participants physically disabled.

635 (2% of total)

VI. Number of participants who are veterans.

2,544 (8% of total)

Program Effectiveness and Progress:

Due to the newness of this program, an evaluation has yet to be authorized. Program data for the first year of the program shows that 14,030 participants were enrolled in postsecondary schools or other types of training programs. 4,148 additional participants had been accepted by a postsecondary institution but had not yet begun their studies. More than 30,000 individuals received some form of assistance through the Centers.

Ongoing and Planned Evaluations:

An Evaluation of Demonstration Models for the Special Programs for Students from Disadvantaged Backgrounds

The major purpose of this study is to develop and evaluate more effective compensatory education techniques, or models, to improve program impact on its participants. This project, which began in September 1976, comprises about two years for development of intervention models, field implementation and evaluation plans, and field site selection and staff training. Beginning in September 1978 there will be a three year field trial of the models with impact data extracted annually for evaluation and results reported annually. There will also be a final year of data synthesis and analysis with results reported for the whole effort. The results will be applied to the existing Special Programs, and will furnish successful models to state and local education agencies and higher education institutions for use in their own efforts with disadvantaged students at the high school and college levels.

The model development report and design for the project will be completed in mid-1977, with the first evaluation report due by 2-28-80 and the second impact evaluation report due by 2-28-81. The final report for the complete experiment is due by 6-30-82.

Contractor: System Development Corporation, Santa Monica, California.

Sources of Evaluation Data:

Reports by the centers to the program manager.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Special Services for Disadvantaged Students in Institutions of Higher Education

Legislation:

Higher Education Act of 1965. Title IV-A, Subpart 4; Public Law 89-329; as amended by Public Law 90-575; as amended by Public Law 91-230; as amended by Public Law 92-318; as amended by Public Law 93-380.

Expiration Date:

September 30, 1979

Funding History:	Year	Authorization 1/	Appropriation
	1970	$ 56,680,000	$10,000,000
	1971	96,000,000	15,000,000
	1972	96,000,000	15,000,000
	1973	100,000,000	23,000,000
	1974	100,000,000	23,000,000
	1975	100,000,000	23,000,000
	1976	100,000,000	23,000,000
	1977	--	Deferred

1/ Represents budget authority. Beginning in FY 1970 funds authorized were combined for the three programs of Special Services, Upward Bound, and Talent Search. A total of $100,000,000 is authorized for these programs in FY 1976 including the Educational Opportunity Centers.

Program Goals and Objectives:

Services provided shall be specifically designed to assist in enabling youths from low-income families who have academic potential, but who may lack adequate secondary school preparation or who may be physically handicapped, to enter, continue, or resume a program of postsecondary education, including programs, to be known as "Special Services for Disadvantaged Students", of remedial and other special services for students with academic potential (a) who are enrolled or accepted for enrollment at the institution which is the beneficiary of the grant or contract, and (b) who, (i) by reason of deprived educational, cultural, or economic background, or physical handicap, are in need of such services to assist them to initiate, continue, or resume their postsecondary education or (ii) by reason of limited English-speaking ability, are in need of bilingual educational teaching, guidance, and counseling in order to enable them to pursue a postsecondary education.

The legislated requirements for participation in the program by students with "academic potential" and who need "remedial and other special services" by reason of "deprived educational, cultural, or economic background, or physical handicap" are difficult to define and implement. Academic potential widely varies in definition and no fully satisfactory definition exists. The separation of deprived educational or cultural background from financial need as a qualification for program participation causes an amorphous target population that defies rational definition. Similarly, the meaning of need for services is subject to broad and conflicting interpretation.

Program Operations:

Special Services is a project grant program making awards to institutions of higher education to provide remedial or bilingual educational teaching, guidance, and/or counseling services for students with educational, cultural, or economic deprived background, or physical handicap or limited English speaking ability. The program is forward-funded and no matching funds are required by the grantee institutions.

Recipients of grants or contracts from this program who serve students of limited English-speaking ability must include in their curriculum a program of English language instruction for such students.

The program is administered through the OE regional offices with the exception of a small amount of funds awarded to national demonstration projects by the OE central office. Awards are made competitively.

At the institution level, a Special Services program is defined as a separately budgeted formal or structured body of activity by the institution for enrolled students, which is not routinely available to or appropriate for the typical entering student, but is directed toward the more disadvantaged student. There should be a statement of institutional record as to the goals and objectives of the special program, with specification of target population, intervention or treatment strategies, and there should be an institutional staff member charged with responsibility for the administration and maintenance of the program.

Program Scope:

Census data 2/ shows that there were about 1,200,000 poor and near-poor (up to $5,000 family income) eleventh and twelfth grade high school students. At least 65 percent (800,000) within this income group will be expected to graduate from high school, and about 35 percent (280,000) of the high school graduates will be expected to enter college eventually. The 280,000 low-income students, plus those physically handicapped students from families above $5,000 income, constitute the core of the target population in need of special services. Evidence from the study of the Special Services Program 3/ reveals that, in the fall of 1971, 14 percent of all undergraduates came from families with an income that placed them within the federal government's poverty classification; this is the prime target population for the Special Services program. Also, while about half of all colleges report enrolling 11 percent or more financially disadvantaged undergraduates, only about one-fourth to one-half of all colleges have a post-matriculation special services type program for low-income students. (Some of the other colleges provide the needed services even though they may not have an explicit program.) The principal source of support for these programs is the federal government, with only about 15 percent supported by regular institutional funds, and less than 10 percent by private foundations. According to the study, the most frequent program components found in more than six of every ten programs (from all funding sources) are academic counseling and advising, special recruiting strategy, and tutoring. About half provide for diagnosis of learning difficulty or for remedial courses, and almost half report use of special instructional media or strategies. Almost half involve cooperative efforts with community agencies or organizations; about the same proportion contain job placement elements. Guidance for graduate study appears in about one in every five programs. Slightly more than half of the programs are concerned with the administration of student grants, work-study, and/or loans for program participants.

Programs funded as federal Special Services Programs tend to have a wider variety of the several components than do programs funded from other sources. Also, the content of the programs is influenced by institutional goals: i.e., selective institutions more frequently provide tutoring or guidance toward graduate study, and provide remedial courses less frequently than do non-selective institutions. Programs on traditionally white campuses differ in content from those on traditionally black campuses only in the greater frequency of recruiting components which is not allowed in Special Service Projects.

In FY 1975, 327 projects were funded (9 new and 318 continuing), at an average cost of $70,336 per project, serving an estimated 100,696 students. The average cost per student is estimated to be $228. 1/

Program Effectiveness and Progress:

Program records show that in FY 1975 (program year 1975-76), approximately 90,000 students participated in the Special Services program. Of this number, about 66,500 received supportive services for the entire period; about 5,800 students showed adequate academic and personal adjustment and moved out of the program into the regular academic channels of the host institutions; about 5,800 graduated from the host institutions, and about 2,200 left the host institutions to transfer to other colleges, and presumably were making satisfactory progress, or transfer probably would not have been possible. 1/

The evaluation 4/ of the Special Services Program has shown that the median age of the programs reported (whether federal or non-federally supported) was 2.6 years in 1972, and only three percent had existed ten years or more. Therefore, it was too early to evaluate program impact by numbers of students persevering to a bachelor's degree or continuing into graduate study.

Also, the study has revealed that being disadvantaged is much more than a financially determined phenomenon. There are greater differences among students of different ethnic classification within the low-income group than there are between poverty-level and modal (typical) students within the same ethnic classification. Differences between physically handicapped students and modal students are relatively minor--except for the physical disability. Between the poverty-level and modal students, the study did not find substantial differences by major field of study, content of freshman courses taken, or relative difficulty with such courses. Most students in the study were in their first or second year, and differences in these areas may show up later in their college careers.

As expected, the poverty-level students reported a higher degree of participation in the services offered by these programs than did the modal students. This differential participation was particularly large in professional counseling and assistance on financial problems but was also greater for: tutoring by students and professors; professional counseling on career choices; remedial courses and courses on reading skill development; programs to improve writing and number skills; reduced course load; professional counseling for personal and academic problems, and several other areas.

Although substantial positive changes occurred among recipients of these services in attitudes, values, and motivation, there was little indication of impact of the services on the academic achievement of the target population. Disadvantaged students did not reduce the gap in college grade point average between themselves and the regularly admitted (modal) students, differences between high school and college grades for the two groups remaining approximately the same. The college environment, while not tending to magnify previous differences in academic achievement, does not appear to be compensating for such differences. Overall, the academic success of disadvantaged students at institutions with Special Services Programs was no greater, or no less, than at colleges without such programs. This outcome was not affected by any differential emphasis upon specific programmatic elements such as tutoring or counseling. There was no evidence that the colleges these students were in, or any support services available to them, were helping these students to exceed the level of performance that would be expected of them in college given their level of performance in high school.

With regard to disadvantaged students' own satisfaction with their college experience, these students were relatively most satisfied at four-year predominantly white institutions and relatively least satisfied at two-year community colleges; traditionally black colleges fell in between these two groups.

In summary, the evaluation found no evidence of impact associated with services offered by Special Services or similar programs. 4/

A recently completed comprehensive review 5/ of research on the effectiveness of secondary and higher education intervention programs for disadvantaged students found that such programs at the postsecondary level have had some positive impact upon program participants. These programs appear to have been somewhat effective in increasing retention of disadvantaged youth in college. In some instances, academic achievement appears to have been improved, but still remained below institutional averages for regularly admitted students. While these programs appear to assist some persons, it is entirely possible for self-selection to have caused these outcomes, and "creaming" of participants has been observed in a number of these types of programs. As with intervention programs at the secondary school level, the strategy used to keep disadvantaged youths in college varied little among programs. Most programs provided remedial instruction, tutoring, and counseling, but differed in the extent to which they tried to integrate their participants into college activities. Like high school level intervention efforts, higher education intervention has not had a major impact on the organization and operation of colleges.

The college-level programs have approached the problems of compensatory education for disadvantaged students with little variation: they tend to offer old strategies to meet new problems, and there has been very little experimentation with different modes of educational intervention. Similarly, little thought has been given to the criteria to be used to gauge the achievement of program objectives. Since program administrators cannot tell whether a strategy has been effective or not, they cannot know when to change or reinforce that strategy. Careful experimentation with varying techniques in varying settings is needed before such programs can advance beyond their limited success. 5/

It should be noted that where improvements in program operations can be made on the basis of findings in the above studies, they have been included in the revised program regulations.

Ongoing and Planned Evaluation Studies:

An Evaluation of Demonstration Models for the Special Programs for Students from Disadvantaged Backgrounds

The major purpose of this study is to develop and evaluate more effective compensatory education techniques, or models, to improve program impact on its participants. This project, which began in

September 1976, comprises about two years for development of intervention models, filed implementation and evaluation plans, and field site selection and staff training. Beginning in September 1978 there will be a three year field trial of the models with impact data extracted annually for evaluation and results reported annually. There will also be a final year of data synthesis and analysis with results reported for the whole effort. The results will be applied to the existing Special Programs, and will furnish successful models to state and local education agencies and higher education institutions for use in their own efforts with disadvantaged students at the high school and college levels.

The model development report and design for the project will be completed in mid-1977, with the first evaluation report due by 2-28-80 and the second impact evaluation report due by 2-28-81. The final report for the complete experiment is due by 6-30-82.

Contractor: System Development Corporation, Santa Monica, California.

Sources of Evaluation Data:

1/ Program files.

2/ U.S. Bureau of the Census, Current Population Reports, Series P-20, No. 222, "School Enrollment: October 1970", derived from Tables 14 and 15, and unpublished data obtained from the Bureau of the Census.

3/ Programmatic Attention to "Disadvantaged" Students by Institutions of Higher Education in the United States: A Census for 1971-72, Educational Testing Service, Princeton, New Jersey, April 1973 (final report from phase one of the evaluation of the program for Special Services for Disadvantaged Students in Higher Education).

4/ The Impact of Special Services Programs in Higher Education for "Disadvantaged" Students, Educational Testing Service, Princeton, New Jersey, June 1975 (final report of phase two of the evaluation of the program for Special Services for Disadvantaged Students in Higher Education).

5/ Vincent Tinto and Roger H. Sherman, The Effectiveness of Secondary and Higher Education Intervention Programs: A Critical Review of the Research, Teachers College, Columbia University, September 1974 (final report submitted to the Office of Planning, Budgeting, and Evaluation of the U.S. Office of Education).

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Strengthening Developing Institutions

Legislation:

Higher Education Act of 1965, Title III;
Public Law 89-329, as amended

Expiration Date:

September 30, 1979

Funding History:

Year	Authorization	Appropriation	
1966	$ 55,000,000	$ 5,000,000	
1967	30,000,000	30,000,000	
1968	55,000,000	30,000,000	
1969	35,000,000	30,000,000	
1970	70,000,000	30,000,000	
1971	91,000,000	33,850,000	
1972	91,000,000	51,850,000	
		BIDB	AIDB
1973	120,000,000	52,000,000	35,500,000
1974	120,000,000	51,992,000	48,000,000
1975	120,000,000	52,000,000	58,000,000
1976	120,000,000	52,000,000	58,000,000
1977	120,000,000	Deferred	Deferred

Program Goals and Objectives:

The program objective is to provide assistance to developing institutions of higher education which demonstrate a desire and a potential to make a substantial contribution to the higher education resources of the Nation but which, for financial and other reasons, are struggling for survival and are isolated from the main currents of academic life. The original legislative hearings identified approximately 110 predominantly black colleges as a specific set of institutions which, for more than financial reasons, were struggling for survival and, therefore, appropriate candidates for program support. Specific program objectives include efforts to improve the quality of curriculum, faculty, student services, administration, and other general areas of institutional operations. Since its inception, however, the program has included both two- and four-year institutions enrolling 50 percent of students from low-income families as well as representatives of minority populations. Almost a thousand smaller colleges and universities fall within the "developing institutions" category that benefit under Title III of the Higher Education Act.

The program goal is to provide such supplementary financial assistance as may be necessary to allow developing institutions to move into "the mainstream of American higher education" so that they might, on the basis of offering an education of good quality, reasonably compete for students and external financial resources.

Program Operations:

Developing institutions are defined as institutions of higher education which: (1) provide an educational program which awards an A.A. or a B.A. degree, (2) are accredited by a nationally recognized accrediting agency or association, or making reasonable progress toward such accreditation, (3) have satisfied both of the above requirements during the five academic years preceding the academic year during which program assistance would be provided--with the exception that the five-year stipulation may be waived for institutions which serve to increase higher education for Indians. In addition, three of the five years may be waived for institutions primarily serving Spanish-speaking persons, (4) admit as regular students only persons having a certificate of graduation from a high school providing secondary education or the recognized equivalent of such a certificate, (5) are public or non-profit, and (6) meet such other requirements as may be prescribed by regulations. The law requires that such prescriptions include an indication that the institutions participating in the program are: (a) making a reasonable effort to improve the quality of their teaching and administrative staffs and in student services programs and (b) for financial or other reasons, struggling for survival and isolated from the main currents of academic life. In addition, eight quantitative factors (relating to enrollment, faculty qualifications and salaries, institutional expenditures, library volumes, and the family income of students) and three qualitative factors (relating to enrollment, institutional personnel, and institutional vitality) are used as criteria to assess institutional eligibility for participation in the program.

In Fiscal Year 1973, the program was divided administratively into the Basic Institutional Development Branch (BIDP) and the Advanced Institutional Development Branch (AIDP). This division was predicated partially on the conceptual finding of an USOE evaluation study 1/ which reported that the process of institutional development may be better viewed as a series of progressive stages, each of which is relatively distinct with respect to needs and capabilities.

Both administrative branches provide assistance to eligible applicant institutions in the form of grants which are awarded competitively on the basis of realistic long-range plans for development and relative ratings along a variety of quantitative and qualitative parameters (including those noted above) which are intended to assess an institution's ability to make effective use of an award. Developing institutions which participate in the Basic program receive one-year grants for the purpose of strengthening the quality of their curriculum, faculty, administration, and student services. Advanced developing institutions receive multi-year awards, which may extend up to five years, for the development of comprehensive planning, management, and evaluation capabilities, for undertaking special purpose programs and innovative projects, and for promoting activities directed toward the attainment of financial self-sufficiency. The strategy of the Basic branch is to provide assistance for improvement in general areas of institutional operations among applicants whose pace of development is necessarily modest;

while the strategy of the Advanced program is to select among relatively highly qualified applicants with the objective of accelerating the process of institutional development.

Section 305 of the legislation (P.L. 92-318) allows the Commissioner to lend additional financial assistance to developing institutions under certain other programs of the Higher Education Act. Under this provision, and at the Commissioner's discretion, the non-Federal institutional share of costs for participating in the Titles II, IV, VI, and VII programs may be waived for institutions certified as developing institutions.

Program Scope:

From FY 1966 to FY 1976 over $618 million has been appropriated for this program. Of this amount slightly less than one third or almost $200 million has been used for the Advanced Institutional Development Program although it has been operative only the last four funding periods. The following tables (I and II) present in detail the scope of operations for each program over the life of the program.

Of particular interest in each table is the level of funding as contracted to the request for funds. In recent years the basic program has been able to support only about a quarter of the requests while the advanced program has only had funds for about a fifth of the total. Also of interest is the changing nature of program activities in the Basic Program. There appears, for example, to be less need for retaining of faculty (Table I) as the number of national teaching fellowships approved has fallen to 362 in FY 1976 from a high of 1,514 in 1967. Also there has been a rather large increase in the number of assisting agencies and businesses of a non-educational nature.

In FY 1976 the mean award (Table III) for the basic program was $256,000 per institution, however, when all participating institutions are considered, 203 versus 434, the amount per participant falls to $120,000. In the Advanced Program the mean amount was $1.7 million with two-year institutions receiving an average of $1.4 million and while four-year schools were granted $2.0 million per institution. $54.4 million or almost half of all funds were awarded to institutions with predominantly black student bodies while $5.8 million and $4.4 million were distributed to institutions serving large numbers of Spanish-speaking and Native American students; a little more and a little less than five percent respectively. Thus, almost 60% of all funds were distributed to institutions serving large numbers of minority students.

Table I

A Comparison Between Fiscal Years 1966-1976
Basic Institutional Development Program
Title III, Higher Education Act of 1965

	1966	1967	1968	1969	1970	1971	1972	1973	1974	1975	1976 *
Funds Appropriated & Obligated (in thousands)	$5,000	$30,000	$30,000	$30,000	$30,000	$33,850	$51,850	$51,850	$51,992	$52,000	$52,000
Funds Requested by Institutions (in thousands)	$32,250	$56,792	$113,925	$95,187	$85,434	$105,048	$143,000	$220,000	$198,000	$222,000	$196,000
Number of Proposals Submitted	310	560	500	464	433	441	456	470	511	491	431
Number of Grantee Developing Inst.	(127)	(411)	(220)	(229)	(227)	(198)	(226)	(235)	(215)	(207)	(202)
Other Non-Grantee Participating Inst.	(31)	(55)	(148)	(186)	(215)	(307)	(330)	(232)	(139)	(230)	(232)
Total Developing Inst. Benefiting from Title III Funds	158	466	368	415	442	505	556	467	354	437	434
Assisting Institutions	66	168	131	142	156	151	185	181	163	141	163
Assisting Agencies & Businesses	9	53	28	47	51	53	101	134	178	118	165
National Teaching Fellowships Approved	263	1,514	727	655	649	541	635	354	524	461	362
Professors Emeriti Awarded	--	--	--	--	56	64	73	45	59	48	38
Geographical Representation of Grantees	38 States & D. C.	47 States Guam P. Rico D. C.	45 States Guam P. Rico V. Isl.	45 States Guam P. Rico V. Isl.	44 States Guam P. Rico V. Isl. D. C.	40 States P. Rico V. Isl. D. C.	43 States P. Rico V. Isl. D. C.	43 States P. Rico V. Isl. D. C.	47 States P. Rico V. Isl. D. C.	44 States P. Rico V. Isl. D. C.	44 States P. Rico V. Isl. D. C. Am. Samoa

* Funding for FY 1976 incomplete.

Source: Program files.

Table II

Advanced Institutional Development Program
Title III, Higher Education Act of 1965
Summary of Fiscal Years 1973-1976

	1973	1974	1975	1976	Total
Funds Appropriated & Obligated	$35,500,000	$48,000,000	$58,000,000	$58,000,000	$119,500,000
Funds Requested by Institutions	$336,554,162	$400,387,759	$318,997,848	$314,577,547	$1,370,517,316
Number of Proposals Submitted	156	205	174	134	669
Number of Institutions Funded	28	36	61	34	159
Number of Different Institutions Funded Since 1973	28	36	19	32	115
Number of Grants Awarded	28	36	63	34	161
Geographical Representation of Grantees (States)	22	18	26	23	36
Number of Different Four-Year Colleges Funded	17	23	44	22	75

Source: Program files.

Table III

Funding Summary
Developing Institutions Program
Title III Higher Education Act of 1965
FY 1976

		Fiscal Year 1976	
	Basic	Advanced	Total
		(in thousands of dollars)	
Total Funding - Dollars	$52,000	$58,000	$110,000
Total Funding - Percent	100.0	100.0	100.0
Number of Institutions	203	34	237
Mean Award	$256	$1,706	$464
Funding - Two-Year	$12,480	$13,920	$26,300
Funding - Percent Total	24.0	24.0	24.0
Number of Institutions	73	11	84
Mean Award	$171	$1,265 1/	$313
Funding - Four-Year	$39,520	$44,080	$83,600
Funding - Percent Total	76.0	76.0	76.0
Number of Institutions	130	23	153
Mean Award	$304	$1,917 1/	$546
Funding - Predominantly Black	$25,400	$29,130	$54,530
Funding - Percent Total	48.8	50.2	50.0
Number of Institutions	55	13	68
Mean Award	$462	$2,241	$802
Funding - Spanish-Speaking	$4,643	$1,200	$5,843
Funding - Percent Total	8.9	2.1	5.3
Number of Institutions	31	1	32
Mean Award	$150	$1,200	$183
Funding - Native American	$4,231	$161	$4,392
Funding - Percent Total	8.1	0.3	4.0
Number of Institutions	27	1	28
Mean Award	$157	$161	$157

1/ Includes grant for consortium.

Source: Program files.

Program Effectiveness and Progress:

Following the administrative division of Title III into the Basic and the Advanced branches, about 80% of all AIDP participants have been BIDP participants. The remaining grantees have received awards without prior participation in BIDP. In the area of institutional movement from one stage of development support to another, one issue which remains unresolved is the application of an appropriate mechanism for encouraging BIDP participants to move into the Advanced program. In FY 1975 alone, 68 AIDP-qualified institutions (of which 39 were two-year colleges and 29 were four-year colleges) elected to participate in the Basic, rather than the Advanced, program. The reluctance exhibited by these institutions to progress to AIDP appears to have been predicated on the following three factors: (1) the programmatic requirements of AIDP are more stringent than those applicable under BIDP, (2) one concept inherent to the Advanced program is that, upon expiration of its grant period, an institution is expected to have become sufficiently developed as to no longer require Title III support, and (3) AIDP awards are, when annualized, not always significantly greater than might be the sum of five annual awards received under the Basic program.

For FY 1973 and 1974 AIDP grantees prior to the award of supplemental grants, annualized awards (i.e., AIDP awards divided over an average grant period of 4½ years) amounted to $120.58 per FTE student (i.e., a measure denoting all full-time students plus 1/3 of the part-time students) and to approximately 5.20% of the institutional budgets for educational and general expenditures.* In comparison, for FY 1973, 1974, and 1975 AIDP grantees subsequent to the award of supplemental grants, annualized awards amounted to $148.70 per FTE student and to approximately 6.49% of the institutional budgets for educational and general expenditures.**

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* Education and General Expenditure budgets reflect only those expenditures related to instructional purposes and, thus, do not include the five other major categories which, together, comprise institutional operating budgets for Total Current Funds Expended. During academic year 1973-74 (the latest year for which national data are available), educational and general expenditure budgets amounted to 75.95% of total current funds expended. Thus, it may be inferred that, subsequent to the award of supplemental grants, the FY 1973, 1974, and 1975 AIDP grantees received annualized awards which amounted to approximately 4.93% of their budgets for total current funds expended. In comparison, a GAO report 2/ noted, with respect to awards under the Basic program, that "The size of the grants to the 44 institutions (randomly selected from among 467 institutions receiving Basic program grants in Fiscal Year 1973) ranged from less than 1 percent to 15 percent of total institutional funds; the grants to 27 of the 44 institutions represented 5 percent or less of total institutional income."

** Program data on award levels, enrollments, and educational and general expenditure budgets were used to calculate these percentages. AIDP grants were annualized to an average of 4½ years (i.e., grant periods range from 3 to 5 years, with an average length of 4.5). Annualized grants were then divided by the educational and general expenditure budgetary and FTE enrollment figures for 1973 to yield the resulting percentage and dollar values.

Findings of the most recent evaluation study 1/ indicated that:

1. Institutional development may be better viewed as a sequential process, during which institutions pass from one stage of development to another--each of which exhibits a particular set of needs. The amount and type of funding should be correlated with an institution's stage of development. (The administrative division of the Title III Program into the Basic and the Advanced branches was predicated partially on the study's exploration of this concept.)

2. The size of a grant is not necessarily as significant with regard to impact as are continuity of funding and the quality of leadership. A lower level of continuous funding may be more productive than patterns of intermittent, but higher, funding--which may disrupt planned development. Increases and decreases of funding are best instituted gradually. (Since its implementation, the Advanced program has awarded multi-year grants in which the funding pattern increases slowly, plateaus, and decreases gradually.)

3. While Title III contributed to the growth of institutional resources and the improvement of academic quality, the contractor underscored the need for closer monitoring. In order to enhance the definition of realistic goals and their accomplishment, institutions require an increase in extended contacts with the Title III program staff, inclusive of increases in the number of on-site visits. (At the beginning of FY 1974, there were 39 permanent staff assigned to the program; of these 24 were professionals, 5 were para-professionals, and 10 were secretaries. In mid-November of 1975, there were 35 permanent staff assigned to the program: 21 professionals, 5 para-professionals, and 9 secretaries.)

4. Strong, but not authoritarian, presidential leadership is correlated with the vitality and success of programs for development. (The character of presidential leadership is difficult to assess through an application process. However, in recent years, both the Basic and Advanced programs have required, through a variety of mechanisms, initial and continuing presidential support of Title III development activities. In addition, at the beginning of each AIDP grant cycle, the Advanced program holds an introductory workshop, with attendance required of all presidents of current fiscal year AIDP grantees.)

5. The role of the program coordinator on most campuses was not effective; tasks were assigned to over-burdened administrators who were unable to devote sufficient time to pertinent tasks. As a result, grantees are now required to have full-time coordinators.

6. Effectiveness of some consortia was inhibited because members were geographically distant, or significantly different in characteristics, or pursued distinctly different goals. (In recent years, the program office has encouraged the formation of consortia based on commonalities of characteristics and interests.)

7. Use of consultants sometimes proved less beneficial than anticipated--partially because their employment was too brief to ensure successful implementation of programs. (While an appropriate mechanism does not exist to advise grantees on the selection of consultants, the program office has, in recent years, encouraged grantees to seek other institutions' experiences prior to making a final selection of consultants.)

8. Most developing institutions are relatively unskilled with respect to internal collection and transfer of information. (In recent years, the Title III has placed increased emphasis upon the development of institutional research capabilities.)

9. Most successful uses of funds were for curriculum development, National Teaching Fellows, in-service training of faculty, advanced graduate training of faculty, establishment of new institutional administrative offices, and for counseling and guidance activities.

Ongoing and Planned Evaluation Studies:

1. A Design for a Data Base and Estimation of the Effects of HEA Title III Intervention, Harvard University, Cambridge, Massachusetts.

2. Following completion of the above-noted ongoing study, the Office of Education plans to release, in FY 1977, a study for site-visits to approximately 60 developing institutions to obtain more detailed information on the impacts of Title III funding.

Sources of Evaluation Data:

1. A Study of Title III of the Higher Education Act: The Developing Institutions Program, Center for Research and Development in Higher Education, University of California--Berkeley, January 1974.

2. Assessing the Federal Program for Strengthening Developing Institutions of Higher Education, General Accounting Office, October 31, 1975.

3. Program files, Division of Institutional Development, Bureau of Postsecondary Education.

4. A Study Design for Evaluation of HEA Title III, Arthur D. Little, Inc., Cambridge, Massachusetts. (Project cancelled)

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Annual Interest Grants

Legislation:	**Expiration Date:**
Title VII-C, Section 745 of the Higher Education Facilities Act of 1965; as amended by the Higher Education Amendments of 1972 (formerly Title III, Section 306 of the Higher Education Act of 1963; P.L. 88-204)	October 1, 1979

Funding History:

Year	Authorization	Appropriation
1969	$ 5,000,000	$ 3,920,000
1970	11,750,000	11,750,000
1971	22,250,000	21,000,000
1972	38,750,000	29,010,000
1973	52,250,000	14,069,000
1974	(Such sums as may be necessary)	31,425,000
1975	"	-0- **
1976	79,250,000 *	-0- **
1977	92,750,000	Deferred

* Includes an indefinite authorization for continuation awards.

** No appropriations were requested for continuing grant obligations in FY 1975, FY 1976, or FY 1977, as a result of a change in the obligation accounting procedures for the program. A new procedure was instituted wherein all outstanding obligations were de-obligated so that program obligations will agree contractually with the years in which payments commence under each grant agreement.

Program Goals and Objectives:

Annual Interest Grants is one of four programs (which include also Loans for Construction of Academic Facilities, Grants for Construction of Undergraduate Academic Facilities, and Grants for the Construction of Graduate Facilities) designed to help institutions of higher education meet a national shortage of facilities. The Annual Interest Grant Program became operational in Fiscal Year 1970 and was designed both to encourage the use of private capital for construction of academic facilities as well as to reduce the interest burden on borrowers to a level commensurate with direct loans for academic facilities.

Program Operations:

Institutions of higher education, cooperative graduate center boards, and higher education building agencies (i.e., state agencies empowered by the State to issue tax-exempt bonds on behalf of private institutions of higher education) have been eligible to apply for Federal annual interest grant assistance on loans obtained in the private market. Up to 90% of the cost of a project has been eligible for loan subsidies over a fixed period which may not exceed 40 years. Subsidy payments commence after either long-term financing arrangements have been consummated or after the project has been completed--whichever is later. Subsidies represent the difference between the interest amounts payable at the commercial rate on the loan and the amount payable at an interest rate of 3%. Not more than 12.5% of the annual appropriations for this program has been allowed for grants to any one State. Further, the aggregate principal amount of loans (or portions thereof) with respect to which annual interest grant subsidies were approved could not exceed $5 million per campus during any Federal fiscal year.

Prior to receipt by the central office, program applications were first reviewed by State Commissions, and subsequently by the appropriate DHEW Regional Office, to evaluate the request for assistance with regard to (1) space utilization, (2) enrollment projections, and (3) over-all need for the facility for which assistance was requested.

Program priorities focused first upon applications from public community colleges and public technical institutions, from developing institutions, and from institutions in which enrollments from low-income families were at least 20% of the student body. Applications from all other institutions were regarded as a secondary priority. Within these two priority categories, requests were awarded so as to encourage a distribution of funds to those institutions or branch campuses which were (1) in urgent need of additional academic facilities--either to meet increasing enrollments or to prevent a decrease in enrollment due to inadequate facilities--and (2) committed to the enrollment of substantial numbers of veterans.

Program Scope:

No awards for annual interest grants have been made since Fiscal Year 1973. Since the program's inception in Fiscal Year 1970, 711 grants (subsidizing a total loan volume of $1,434,571,000) have been approved. As of the close of Fiscal Year 1976, 456 of these grants (subsidizing a loan volume of approximately $775,000,000--or 54% of the total) have come into active pay status.

Federal expenditures for subsidies of annual interest grants amounted to $8,000 in FY 1971; $2,105,000 in FY 1972; $6,005,000 in FY 1973; $11,408,000 in FY 1974; $16,657,000 in FY 1975; and $17,821,786 in FY 1976. It is anticipated that when the total loan volume comes into active pay status, annual Federal expenditures will approximate no more than $29,000,000 and that final payments under this program will extend until roughly 2020.

Of the $1,434,571,000 total subsidized loan volume, $364,595,000 (or 25.4%) of the loans are held by two-year institutions and $1,069,976,000 (or 74.6%) of the loans are held by four-year colleges and universities.

Program Effectiveness and Progress:

Since the inception of the Higher Education Facilities Act of 1963, the Federal Government has provided financial assistance for the construction or improvement of academic facilities throughout the 55 states and territories. During the period Fiscal Year 1965 through Fiscal Year 1975 almost $2.5 billion in direct Federal grants and loans were awarded. In addition, over $1.4 billion in commercial loans were approved for annual interest subsidy support involving an estimated annual commitment of Federal funds approximating $29 million. Over 1,800 institutions of higher education received financial assistance for the purpose of facilities construction and improvement and some 4,000 facilities costing in excess of $10 billion will have been constructed.

Findings of an USOE planning study 1/ report that the total stock of space in 1974 approximated 1,332,300,000 net assignable square feet. Roughly 25% of this total was constructed between academic years 1968-69 and 1973-74. In addition, construction which will be completed by 1976 will supplement this stock by an estimated 80,000,000 square feet. The study also found that nationally aggregated comparisons of space standards with the space available showed few shortages, both for those categories where very specific space standards have been established (i.e., classrooms, laboratories, and office space) as well as for special use, general use, and support space, while non-academic space shows some excess. Some shortages of space were observed in office space, study space, and laboratory facilities. When disaggregated, the data showed a tendency for some schools (particularly two-year private colleges) to be space-rich and for others (generally, public universities and public two-year colleges) to exhibit some shortages as a consequence of shifts in enrollment patterns. Other major findings noted (a) that neglecting of maintenance, which can increase the need for remodeling, was estimated to be common at approximately 20% of the public sector institutions and 40% of the private sector colleges and (b) that there was little evidence that the drying up of Federal funds has tended to affect college construction decisions.

In view of the large amount of construction over the last 10 years and the anticipated leveling off of higher education enrollments, it appears that the Federal assistance programs for construction of higher education facilities have generally accomplished their objective. While certain areas of the country may still face a shortage of academic space, these deficiencies are believed to be limited, and the existing conditions do not constitute a national problem.

Ongoing and Planned Evaluation Studies:

None

Sources of Evaluation Data:

1/ The Demand for Facilities in the Postsecondary Sector, 1975 to 1990, Joseph Froomkin, Inc., Washington, D. C.; August 15, 1974.

Program files, Division of Training and Facilities, Bureau of Postsecondary Education.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Grants for Construction of Undergraduate Academic Facilities

Legislation:	**Expiration Date:**
Title VII-A of the Higher Education Facilities Act of 1965; (formerly Title I of the HEFA 1963; Public Law 88-204); as amended by Public Law 92-318; as amended by Public Law 94-482.	September 30, 1979 **

Funding History:

Year	Authorization	Appropriation
1965	$230,000,000	$230,000,000
1966	460,000,000	458,000,000
1967	475,000,000	453,000,000
1968	728,000,000	400,000,000
1969	936,000,000	83,000,000
1970	936,000,000	76,000,000
1971	936,000,000	43,000,000
1972	50,000,000	43,000,000
1973	200,000,000	43,000,000 *
1974	300,000,000	-0-
1975	300,000,000	-0-
1976	300,000,000	-0-
1977	300,000,000	Deferred

* Funds appropriated in Fiscal Year 1973 were released to the program in May 1974 for obligation during Fiscal Years 1974 and 1975.

** P.L. 94-482, "Education Amendments of 1976", was passed in September 1976. It authorizes Grants for Construction of Undergraduate Academic Facilities until October 1, 1979 and expanded the scope of the program by authorizing grants for construction and renovation projects designed to:

(1) Economize on the use of energy.

(2) Bring facilities into conformance with the Architectural Barriers Act of 1968 (making facilities accessible to the handicapped).

(3) Bring facilities into conformance with health safety or environmental protection requirements mandated by Federal, State, or local law.

Program Goals and Objectives:

Grants for Construction of Undergraduate Academic Facilities is one of four programs (which include also Loans for Construction of Academic Facilities, Annual Interest Grants, and Grants for the Construction of Graduate Facilities) designed to help institutions of higher education meet a national shortage of facilities. The objective of this program is to provide grants to institutions of higher education to finance the construction, rehabilitation, or improvement of undergraduate academic facilities.

Program Operations:

Funds for public community colleges and public technical institutes under this program are allotted to each state by a formula based on the number of high school graduates and per capita income of residents. Funds for other institutions are allotted to each state by a formula based on the number of students enrolled in institutions of higher education and the number of students in grades 9 through 12. Within each state, federal grants may be awarded for up to 50 percent of the project development cost. Twenty four percent of funds appropriated under the Title are reserved for community and technical schools.

Grants are not given for the construction of facilities for which admission is normally charged, for facilities used for sectarian instruction, for facilities for schools of the health professions as defined in the Higher Education Facilities Act, or for residential, dining, and student union facilities.

The law requires that each state establish a Commission for Higher Education Facilities, which would determine priorities, including those regarding the allocation of Federal funds to each project.

Program Scope:

No appropriations have been made for this program since Fiscal Year 1973. Funds appropriated in Fiscal Year 1973 were released to the program in May of 1974 for obligation during Fiscal Years 1974 and 1975. In FY 1974, 13 grants totalling $3,053,000 were made. In FY 1975, 198 grant agreements totalling $39,866,947 were executed--leaving an unobligated balance of $79,318 from the FY 1973 appropriation.

Of the 198 grants awarded during FY 1975, 130 were new grants and 68 were supplemental awards. Public community colleges and public technical institutes were awarded their full allotment of $9,273,991; while all other institutions of higher education were awarded $30,592,956--leaving the unobligated balance of $79,318.

Program Effectiveness and Progress:

Since the inception of the Higher Education Facilities Act of 1963, the Federal Government has provided financial assistance for the construction or improvement of academic facilities throughout the 55 states and territories. During the period Fiscal Year 1965 through Fiscal Year 1975 almost $2.5 billion in direct Federal grants and loans were awarded. In addition, over $1.4 billion in commercial loans were approved for annual interest subsidy support involving an estimated annual commitment of Federal funds approximating $29 million. Over 1,800 institutions of higher education received financial assistance for the purpose of facilities construction and improvement and some 4,000 facilities costing in excess of $10 billion will have been constructed.

Findings of an USOE planning study 1/ report that the total stock of space in 1974 approximated 1,332,300,000 net assignable square feet. Roughly 25% of this total was constructed between academic years 1968-69 and 1973-74. In addition, construction which will be completed by 1976 will supplement this stock by an estimated 80,000,000 square feet. The study also found that nationally aggregated comparisons of space standards with the space available showed few shortages, both for those categories where very specific space standards have been established (i.e., classrooms, laboratories, and office space) as well as for special use, general use, and support space, while non-academic space shows some excess. Some shortages of space were observed in office space, study space, and laboratory facilities. When disaggregated, the data showed a tendency for some schools (particularly two-year private colleges) to be space-rich and for others (generally, public universities and public two-year colleges) to exhibit some shortages as a consequence of shifts in enrollments patterns. Other major findings noted (a) that neglecting of maintenance, which can increase the need for remodeling, was estimated to be common at approximately 20% of the public sector institutions and 40% of the private sector colleges and (b) that there was little evidence that the drying up of Federal funds has tended to affect college construction decisions.

In view of the large amount of construction over the last 10 years and the anticipated leveling off of higher education enrollments, it appears that the Federal assistance programs for construction of higher education facilities have generally accomplished their objective. While certain areas of the country may still face a shortage of academic space, these deficiencies are believed to be limited, and the existing conditions do not constitute a national problem.

Ongoing and Planned Evaluation Studies:

None

Sources of Evaluation Data:

1/ The Demand for Facilities in the Postsecondary Sector, 1975 to 1990, Joseph Froomkin, Inc., Washington, D. C.; August 15, 1974.

Program files, Division of Training and Facilities, Bureau of Postsecondary Education.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

State Postsecondary Education Commissions

Legislation:

Higher Education Act of 1965, as amended; Title XII, Section 1202; Public Law 89-329, as amended

Expiration Date:

September 30, 1979

Funding History:

Year	Authorization	Appropriation
1965	$3,000,000	$3,000,000
1966	2,000,000	2,000,000
1967	7,000,000	7,000,000
1968	7,000,000	7,000,000
1969	7,000,000	7,000,000
1970	7,000,000	6,000,000
1971	7,000,000	6,000,000
1972	7,000,000	6,000,000
1973	--	3,000,000
1974	--	3,000,000
1975	--	3,000,000
1976	--	3,500,000
1977	--	Deferred

Program Goals and Objectives:

The goal of this program is to encourage improved statewide coordination of higher education planning and functions. Specific program objectives include: (1) the establishment of State Postsecondary Education Commissions which are "broadly and equitably representative of the general public and public and private postsecondary education in the State including community colleges, junior colleges, postsecondary vocational schools, area vocational schools, technical institutes, four-year institutions of higher education and branches thereof" and (2) an expansion in the scope of the studies and planning through comprehensive inventories of, and studies with respect to, all public and private educational resources in the State, including planning necessary for such resources to be better coordinated, improved, expanded, or altered so that all persons within the State who desire, and can benefit from, postsecondary education may have an opportunity to do so.

Program Operations:

The Higher Education Amendments of 1972, Section 1202 (a), P.L. 92-318, amended Title XII of the HEA of 1965 to require the establishment of State Postsecondary Education Commissions if a State desires to participate in the comprehensive planning grants program authorized under Section 1203 of the HEA. Under Section 1202 (c), these State Commissions, popularly called 1202 Commissions in reference to the section of the law authorizing them, may also, at the State's discretion, be designated as the State agency for administering HEA Section 105 (Community Services and Continuing Education, Title I), HEA Section 603 (Undergraduate Equipment Grant Program, Title VI-A), and HEA Section 704 (Grants for Construction of Undergraduate Academic Facilities, Title VII-A). Section 1202 (c) further authorizes the payment of funds to the 1202 Commissions to cover the costs of administering the State plans required under Titles VI-A and VII-A. Section 1202 (d) provides that if a State desires to participate in the Titles VI-A and VII-A programs but does not desire to assign the Titles VI-A and VII-A functions to the 1202 Commission, it must establish a separate state commission which is "broadly representative of the public and of institutions of higher education (including junior colleges and technical institutes) in the State."

Determination of 1202 Commission eligibility for receipt of planning funds has been based upon a review of state-provided information demonstrating how the Commission has met the requirements of Section 1202. Such information must include: (1) a letter, signed by the Governor, explaining how the membership of the State Commission meets the "broadly and equitably representative" requirements of Section 1202 (a) and what provisions have been made to ensure continuing compliance with these requirements of the law; (2) an indication of which of the following three options for establishing a 1202 Commission the State has chosen to follow: (i) creation of a new commission, (ii) designation of an existing state agency or state commission, or (iii) expanding, augmenting, or reconstituting the membership of an existing state agency or state commission; (3) an indication of which, if any, of the Titles I, VI-A, and VII-A programs have been assigned to the commission; and (4) other information regarding various particulars of the commission.

After a 1202 Commission has been established, a State may receive funding by applying for a grant. Applications must include the following: (1) a description of the comprehensive planning activities (and their objectives) for which the grant funds are being requested; (2) a description of the need for the activities (including deficiencies or problems in the current status of comprehensive planning for postsecondary education in the State); (3) a description of the approach (including the methods to coordinate with institutions and agencies concerned with postsecondary education in the State); and (4) a description of the anticipated benefits and results to be obtained from the proposed planning activities (including the use of such results and their relationship to the needs indicated previously).

Program Scope:

Fifty-one 1202 Commissions (representing 46 states and 5 jurisdictions) were eligible for Fiscal Year 1976 funding in support of Section 1203 planning activities during 1976-77. Of the 51 commissions, 19 were newly-established commissions, 19 are existing agencies, and 13 are augmented agencies. Twenty-six of the commissions were also assigned the responsibilities for coordinating the Titles I, VI-A, and VII-A programs; 8 commissions were assigned responsibilities for administering the Titles VI-A and VII-A programs only; while 17 commissions were assigned no responsibilities for Federal programs other than the Section 1203 planning activities and the review of proposals submitted to the Fund for the Improvement of Postsecondary Education.

Of the $3,500,000 appropriation for Fiscal Year 1976, $500,000 was apportioned among State Higher Education Facilities Commissions. The remaining $3 million was distributed among the 51 applicant 1202 Commissions on a two-part formula in which (1) each applicant received $30,000 and (2) the balance of the funds ($1,470,000) were allocated on the basis of the ratio of the population of a postsecondary age (i.e., those individuals aged 14 to 54 as recorded in the 1970 census) in a given State to the total in all those States which applied. Under this procedure, grants ranged from a low of $30,147 to a high of $186,158--with the average being slightly less than $60,000 or almost 50% more than in FY 1975.

During 1975-76, the Section 1203 grants supported planning activities in areas as follows: (1) studies relating to evaluation and analysis of postsecondary education (PSE) planning done to date, (2) studies to determine future planning needs and directions, (3) studies on facilitating communications among all segments of PSE, (4) studies of inventories and the development and/or broadening of data bases, (5) studies regarding potential changes in the structure and governance of PSE, (6) planning activities related to occupational education and other areas of PSE aside from traditional higher education, (7) studies of student assistance resources, (8) studies regarding the financing of private institutions of higher education, and (9) facilities planning and analysis activities.

Program Effectiveness and Progress:

In general, more recent applications were of better quality than those submitted in the first year of the program. The States appear to be assessing their individual planning needs in a more coordinated fashion, with many of the proposed activities building upon others which were already in progress or completed. In addition, the Fund for the Improvement of Postsecondary Education found that the 1202 Commissions took more initiative in FY 1975 in reviewing Fund proposals and that the problems exhibited during the FY 1974 cycle (those included (1) the need for a constant educative process of State personnel, since the timing of the review of Fund proposals were coincidental with the establishment of the 1202 Commissions, (2) the greater difficulty faced by smaller States in devoting staff resources to the review of proposals, and (3) some suggestion that, in States where a large university system existed, bias was shown in favor of institutions within that system, while those outside of the system received less favorable reviews) appear to have been alleviated.

One unresolved issue relates to the question of how strictly and in what manner the "broadly and equitably representative" language of the law should be interpreted. During FY 1975 this question was raised with regard to the composition of 1202 Commissions in 6 States. The concerns were referred to the respective Governors for resolution and have since been resolved. Also, what role should the Office of Education play with regard to Commission make-up, with regard to Commission activities, and in what areas of activity if any? This issue remains unanswered at this time.

May 1975 data regarding 1202 Commission membership reflect composition by type of institution represented, by sex, and by race. With respect to institutional representation, 53.53% of 764 members represented the general public, 10.86% represented public four-year institutions, 4.06% represented public community and junior colleges, 6.41% represented public vocational and technical institutes, 9.69% represented private non-profit institutions, 3.80% represented proprietary schools, and 11.65% represented other interests. By sex, 80.85% of 757 members were male and 19.15% were female. By race, 9.01% of 721 members were Black Americans, 0.70% were American Indians, 1.25% were Asian Americans, 3.05% were Spanish-Surnamed Americans, and 85.99% were members of all other racial classifications. More recent information suggests that while progress has been made in the coordination of postsecondary planning with state-wide vocational and manpower planning, it has not been as widespread and effective as might be desired. Nonetheless, the evidence is clear that the 1202/1203 program to date has fostered an (1) awareness of the need to consider all elements and resources within a state, (2) communication among all groups, (3) greater involvement of the private sector and (4) a re-examination of existing structures.

Ongoing and Planned Evaluation Studies:

None

Sources of Evaluation Data:

Program files, State Planning Commissions Office, Bureau of Postsecondary Education.

The Changing Map of Postsecondary Education, State Postsecondary Education Commissions (1202): Their Origin, Development, and Current Status, Education Commission of the States, Denver, April 1975.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Language Training and Area Studies

Legislation:	**Expiration Date:**
National Defense Education Act of 1958. Title VI; Public Law 85-864; as amended by Public Law 88-665; as amended by Public Law 90-575; as amended by Public Law 92-318	October 1, 1977

Funding History:	**Year**	**Authorization**	**Appropriation**
	1964	$ 8,000,000	$ 8,000,000
	1965	13,000,000	13,000,000
	1966	14,000,000	14,000,000
	1967	16,000,000	15,800,000
	1968	18,000,000	15,700,000
	1969	16,050,000	15,450,000
	1970	30,000,000	12,850,000
	1971	38,500,000	7,170,000
	1972	38,500,000	13,940,000
	1973	50,000,000	12,500,000
	1974	75,000,000	11,333,000
	1975	75,000,000	11,300,000
	1976	75,000,000	13,300,000
	1977	75,000,000	Deferred

Program Goals and Objectives:

Programs for foreign language and area studies funded under this appropriation have four major purposes: (1) increase the nation's manpower pool of trained specialists in foreign language, area studies, and world affairs; (2) provide in-service training to upgrade and update the professional knowledge and skills of existing specialists in foreign language, area studies, and world affairs; (3) produce new knowledge about other nations and cultures, particularly those of non-Western world, through research and development; and (4) develop improved curricula and effective instructional materials in foreign languages, area studies, and world affairs needed by education, government, and business.

The National Defense Education Act, Title VI, authorizes the award of grants and contracts to U.S. educational institutions, organizations, and individuals for activities conducted primarily in the United States.

Program assistance includes institutional development, fellowship support, and research in foreign language, area studies, world affairs, and intercultural understanding.

Program Operations:

(a) The Secretary is authorized to make grants to or contracts with institutions of higher education for the purposes of establishing, equipping, and operating graduate and undergraduate centers and programs for the teaching of any modern foreign language, for instruction in other fields needed to provide a full understanding of the areas, regions, or countries in which such language is commonly used, or for research and training in international studies and the international aspects of professional and other fields of study. Any such grant or contract may cover all or part of the cost of the establishment or operation of a center or program, including the costs of faculty, staff, and student travel in foreign areas, regions, or countries, and the costs of travel of foreign scholars to teach or conduct research, and shall be made on such conditions as the Secretary finds necessary to carry out the purposes of this section.

(b) The Secretarv is also authorized to pay stipends to individuals undergoing advanced training in any center or under any program receiving Federal financial assistance under this title, including allowances for dependents and for travel for research and study here and abroad, but only upon reasonable assurance that the recipients of such stipends will, on completion of their training, be available for teaching service in an institution of higher education or elementary or secondary school, or such other service of a public nature as may be permitted in the regulations of the Secretary.

(c) No funds may be expended under this title for undergraduate travel except in accordance with rules prescribed by the Secretary setting forth policies and procedures to assure that Federal funds made available for such travel are expended as part of a formal program of supervised study.

(d) The Commissioner is authorized, directly or by contract, to make studies and surveys to determine the need for increased or improved instruction in modern foreign languages and other fields needed to provide a full understanding of the areas, regions or countries in which such languages are commonly used, to conduct research on more effective methods of teaching such languages and in such other fields, and to develop specialized materials for use in such training, or in training teachers of such languages or in such fields.

Program Scope:

Recent studies of foreign language and area studies programs in the U.S. reveal the growth in the development of non-Western studies since enactment of the NDEA in 1958. Whereas in 1958, some 37 "uncommonly taught" languages were offered in U.S. universities, in 1975 approximately 89 modern foreign languages were taught at NDEA centers; a 1970 survey of foreign language enrollments reveals that while higher education registrations in most of the foreign languages traditionally taught in American higher education have been in a distinct downward trend since 1968, student enrollments in Italian, Spanish, and in over 100 of the less commonly taught languages taken collectively have increased significantly--by 12.8%, 6.7%, and 39.4% respectively.

While enrollments in the uncommonly taught languages are increasing, total enrollments in these languages remain small. For example, in 1970 there were only 5,319 undergraduate and 796 graduate students studying Chinese. By 1974-75 enrollments had increased to 9,468 undergraduate and 1,108 graduate, and recent indications are that enrollments in Chinese language courses are still increasing.

The NDEA foreign language training and area studies program provides a means for correcting existing disciplinary and geographic imbalances, broadening the scope of areas training, and improving and maintaining language skills.

In fiscal year 1976, $13,272,441 was available to fund 80 centers, 28 two-year undergraduate and 13 graduate programs, 842 graduate fellowships, and 46 research projects under NDEA Title VI.

The average cost of a graduate/undergraduate center was $99,000 with enrollments of 64,000 students; the undergraduate centers enrolled about 14,000 students and the average center cost was about $50,000. The average cost per fellowship was $5,000 and the average research project cost about $20,000. The cost of the 13 exemplary graduate projects was $39,500 and the undergraduate projects cost was $27,300.

Program Effectiveness and Progress:

A review of foreign language and area studies programs in the U.S. (based on a sample of 13,000 foreign language and area studies specialists, of whom about 10,000 are college or university faculty members) has provided data on the impact of the NDEA program. A sampling of previous holders of NDEA VI fellowships showed that almost all (89.1%) of the fellows used their foreign area training in their first job. Of the Ph.D. graduates, 99% were employed as language and world area specialists. The survey also indicates that the existing pool of specialists needs more focused development in certain aspects in order to achieve an upgrading of language skills. Of the world area specialists surveyed, only 25% reported that they can easily speak, read, and write a language of their area. A major factor in acquiring and maintaining proficiency in foreign languages is the opportunity to utilize the language in the country where it is in regular use.

Studies on international and intercultural education, and new curricula and instructional materials are intended for use in schools and colleges throughout the U.S. The impact of this program is suggested by a materials utilization survey which provides specific data on instructional materials for 50 different languages in 82 foreign language and area studies programs. Results of the survey show, for example, that of 24 respondent institutions engaged in teaching Chinese, 21, or 88 percent were using materials produced under National Defense Education Title VI support; of 17 programs offering instruction in Hindi, 100 percent were using National Defense Education materials; and 6 out of 7 Arabic programs similarly reported utilization of National Defense Education Act-supported materials.

Ongoing and Planned Evaluation Studies:

None

Sources of Evaluation Data:

Language and Area Studies Review, Richard D. Lambert, (published in August 1973 by the American Academy of Political and Social Science and the Social Science Research Council).

International Studies and the Social Sciences: A Survey of the Status of International/Comparative Studies and Recommendations Concerning National Needs and Priorities, James N. Rosenau (Minneapolis, Minnesota: International Studies Association, June 1971).

1970 Census of International Programs in State Colleges and Universities, American Association of State Colleges and Universities (Washington, D. C.: AASCU Studies 1971/3, August 1971).

Program Data.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Fulbright-Hays Act

Legislation: **Expiration Date:**

Mutual Educational and Cultural Exchange Act of 1961. Section 102(b)(6); Public Law 87-256; as amended by Public Law 87-565; as amended by Public Law 89-698.

None

Funding History:

Year	Authorization	Appropriation
1964	1/	$1,500,000
1965		1,500,000
1966		2,000,000
1967		3,000,000
1968		3,000,000
1969		3,000,000
1970		2,430,000
1971		830,000
1972		1,323,000
1973		1,360,000
1974		1,360,000
1975		2,700,000
1976		2,700,000
1977		3,000,000

1/ Indefinite, does not require specific money authorization.

Program Goals and Objectives:

The legislated purpose of this program is to promote modern foreign language training and area studies in United States schools, colleges, and universities by supporting visits, and study in foreign countries by teachers and prospective teachers in such schools, colleges, and universities for the purpose of improving their skill in languages and their knowledge of the culture of the people of these countries, and by financing visits by teachers from those countries to the United States for the purpose of participating in foreign language training and area studies in United States schools, colleges, and universities.

Program Operations:

Programs funded under Section 102(b)(6) of the Fulbright-Hays Act provide opportunities to individuals for first-hand experiences in the locales of their respective specialization areas. Specifically, fellowships are provided for updating and extending research knowledge, and maintaining and improving language skills. The program also provides fellowships for faculty and doctoral dissertation research, supports group projects for research and training, as well as curriculum consultant services of foreign educators to improve foreign languages, area studies and intercultural education in U.S. schools and colleges.

Programs for foreign language and area studies funded under this appropriation have four major purposes: (1) increase the nation's manpower pool of trained specialists in foreign language and area studies, (2) provide inservice training to upgrade and update the professional knowledge and skills of existing specialists in foreign language, and area studies, (3) produce new knowledge about other nations and cultures, particularly those of the non-Western world; and (4) develop curricula and instructional materials in foreign language, and area studies, needed by education, government, and business.

Program Scope:

In Fiscal Year 1976 this program supported 143 doctoral dissertation research fellowships, 14 group projects, 16 curriculum consultant grants and 46 faculty research fellowships.

Program Effectiveness and Progress:

A recent review of foreign language and area studies programs in the U.S. 1/ demonstrated that adequate opportunities for research and study abroad are critical to improving the quality of specialists training. Over 85% of those included in the survey reported a need to increase opportunities for studying language in its natural setting. While in absolute terms there has been substantial growth in the numbers of specialists with some overseas experience, the survey reveals that on the average the depth of experience abroad is inadequate. Furthermore, although as a group the specialists have had experience in a wide range of countries, the research of a majority of the specialists has been clustered in a small number of countries. In brief, a few countries are overstudied, relatively speaking, while a large number are understudied.

The Fulbright-Hays programs therefore provide a resource for training specialists in areas of greatest need and for helping improve the caliber of training in language and area studies through research and study abroad.

Ongoing and Planned Evaluation Studies:

None

Sources of Evaluation Data:

1/ Language and Area Studies Review, Richard D. Lambert, (published in August 1973 by the American Academy of Political and Social Science and the Social Science Research Council).

Program Data.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Community Service and Continuing Education Program

Legislation:	**Expiration Date:**
Higher Education Act of 1965. Title I; Public Law 89-329, 20 U.S.C. 1001 as amended by Public Law 90-575; 20 U.S.C. 1001, 1005, 1006; as amended by Higher Education Amendments of 1972.	June 30, 1976 *

Funding History:	Year	Authorization	Appropriation
	1966	$25,000,000	$10,000,000
	1967	50,000,000	10,000,000
	1968	50,000,000	10,000,000
	1969	10,000,000	9,500,000
	1970	50,000,000	9,500,000
	1971	60,000,000	9,500,000
	1972	10,000,000	9,500,000
	1973	30,000,000	15,000,000
	1974	40,000,000	14,250,000
	1975	50,000,000	14,250,000
	1976	50,000,000	12,125,000
	1977	40,000,000	Deferred

* The Act "Education Amendments of 1976" was passed in September 1976. Title I Part A of the Act authorizes the Community Service and Continuing Education Program through Fiscal Year 1979. It also authorizes a new Part B, Lifelong Learning, which will be reported on next year.

Program Goals and Objectives:

The legislative goal of this program is to assist the people in the solution of community problems through the improved utilization of higher education resources for continuing education of individuals, groups, and communities.

The objectives of the program are (1) to stimulate institutions of higher education to modify traditional missions in order to provide specially designed educational services at times and places more convenient for adult participation and (2) to build new joint relations between institutions and between institutions and community agencies for the amelioration of economic and social problems. Problems, although national in scope, must be attacked in community and regional settings.

Program Operations:

The program has three distinct parts: a state-grant authority, Special Experimental and Demonstration Projects, and Special Programs for the elderly.

The State Grant program is administered by designated State agencies each of which develops a State plan, establishes priorities among problem areas and is responsible for reviewing and approving institutional proposals for support. One third of total program costs must be met from non-Federal funds.

Special Experimental and Demonstration Projects were authorized by the Education Amendments of 1972. Section 106 provides for a set-aside of 10% of appropriations to carry out projects designed to seek solutions to national and regional problems relating to technological and social change and environmental pollution. Priorities are determined annually by the Commissioner in consultation with the National Advisory Council on Extension and Continuing Education. Grants are made by the Office of Education to institutions on the basis of proposals submitted by them.

Special programs for the Elderly were authorized by the Older Americans Comprehensive Services Amendments of 1973. No funds have been made available, therefore this authority has not been exercised.

Program Scope:

All 55 eligible jurisdictions are participating in the program.

In FY 1976, 595 project grants were made for the conduct of specially designed continuing education programs by State agencies to 715 institutions of higher education. Some 130 of these projects were multi-institutional arrangements which called for the pooling of resources to meet state-wide or regional educational needs. The most significant increase in institutional participation has been among the two-year colleges, these constituted 12 percent of total institutions in 1967 and 33 percent in 1976. Operational projects in FY 1976 provided continuing education for 495,000 adults to assist in the process of community problem solving. More than 400 institutions conducted learning activities off-campus in public buildings, community agencies, schools and church basements.

Seventeen special demonstration projects were funded in FY 1976. Fourteen of these projects were continuations of these projects, with awards ranging from $8,924 to $107,000, focused on both national and regional problems and involved 45 institutions of higher education. Four projects will develop special continuing education programs in the areas of land use, energy conservation and consumer affairs. Ten projects will utilize innovative approaches to the educational needs of women, local government officials, prison inmates and elderly or handicapped citizens. Joint evaluations are planned for two projects aimed at prisoners and ex-offenders as well as two projects serving the elderly. In addition an award was made to Columbia University to undertake an evaluation of continuing education program for women. Two projects were initiated in the priority areas of citizen alienation and a single project in the evaluation of education for mid-career change at the community level.

Program Effectiveness:

On March 31, 1975, the National Advisory Council on Extension and Continuing Education presented to the Congress its mandated evaluation of the program. The Council conducted field reviews of 14 State programs and projects, employed two independent contractors to review additional projects, analyzed all State plans and identified characteristics of projects associated with success.

One of the contractors, Peat, Marwick and Mitchell, and Co. studied 25 exemplary projects nominated by state agencies. The study showed that one major outcome of the program was a participating institution's heightened awareness of its community's problems. Less positive results emanated from an evaluation of Federal and State administration of the program. The researchers also suggested that there is a problem with the amibguity of the legislation as it relates to program scope. Finally, the report indicates that potential benefits from the program are high since it remains the only program focussing upon postsecondary institutions and community service.

The Council's report concluded the program has stimulated a significant number of colleges to modify traditional programs and direct resources to community education for problem solving. Participating institutions numbered 314 in 1967 and 731 in 1973. It was determined that institutional capabilities are strengthened most notably by activities supported for sufficient duration, which are consistent with institutional goals and are cooperatively planned.

The Council's recommendations indicates the need for improved state planning both for postsecondary education generally and continuing education specifically. The Council suggests that program performance would be further enhanced by the provision of technical assistance from Federal administration to States and institutions particularly as related to the development of State plans.

Ongoing and Planned Evaluation Studies:

Survey of State Advisory Committees: study being conducted by Program Staff.

Sources of Evaluation Data:

Program data files, Bureau of Postsecondary Education.

Peat, Marwick and Mitchell and Co., "Evaluation of Projects Supported Under Title I of Higher Education Act of 1965", Washington, D. C., July 1974--part of the National Advisory Council's review of the Title I program.

Program evaluation, Title I, by National Advisory Council on Extension and Continuing Education.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Land-Grant Colleges and Universities

Legislation:

Second Morrill Act of 1890, as amended; 26 Stat. 417; 7 U.S.C. 322,323; Bankhead-Jones Act, as amended; 49 Stat. 439; Public Law 182; 7 U.S.C. 329 as amended Title IX, Sec. 506 Higher Education Amendments of 1972

Expiration Date:

Indefinite

Funding History:	Year	Authorization	Appropriation *
	1964	$14,500,000	$14,500,000
	1965	14,500,000	14,500,000
	1966	14,500,000	14,500,000
	1967	14,500,000	14,500,000
	1968	14,500,000	14,500,000
	1969	14,720,000	14,550,000
	1970	14,922,000	14,720,000
	1971	14,720,000	12,680,000
	1972	14,720,000	12,600,000
	1973	15,160,000	18,700,000 **
	1974	15,160,000	12,200,000
	1975	15,160,000	12,200,000
	1976	15,160,000	12,200,000
	1977	15,160,000	14,200,000

* Figures are the sum of permanent appropriations under the Second Morrill Act (i.e., $50,000 for each State and each jurisdiction regarded as a State for the purpose of this Act) and funds annually appropriated under the Bankhead-Jones Act.

** This figure includes a one-time appropriation of $6,000,000 for the two newly-designated land-grant colleges of the Virgin Islands and Guam. Each jurisdiction received $3,000,000 to be invested in U.S. Government or other safe bonds, with the resulting interest to be used by the land-grant colleges.

Program Goals and Objectives:

The goal of the land-grant programs is to lend Federal support to the several States, and jurisdictions regarded as States for the purpose of this legislation, for collegiate-level instruction in agriculture and the mechanical arts. In addition, program funds may be used to support instruction in the English language and the various branches of mathematical, physical, natural, and economic sciences. The objective of the Morrill Act of 1862 was to provide public lands to any State that would agree to establish an institution in which programs in agriculture and the mechanical arts would be available to the sons and daughters of working class people. The objective of the Morrill Act of 1890 was to provide funds to those States having a dual school system, with the use of such funds authorized for the establishment of a land-grant college for black persons. Later amendments to the land-grant colleges program were designed to maintain and increase the level of Federal support in continuing the availability of these educational programs for persons whose educational opportunities were limited.

Program Operations:

A land-grant college or university is an institution designated by a State legislature for the benefits of the First Morrill Act of 1862 or the Second Morrill Act of 1890. The original Act provided public land (in the amount of 30,000 acres for each Senator and Representative of a State) in order to ensure the development in each State of at least one institution "to teach such branches of learning as are related to agriculture and the mechanical arts." The Second Morrill Act provided for an appropriation of $25,000 for each State having a land-grant institution. The Nelson Amendment of 1907 doubled these appropriations to $50,000. The Bankhead-Jones Act of 1935 provided for additional support. Puerto Rico was added in 1908; the District of Columbia in 1969; and both Guam and the Virgin Islands were so designated in 1973.

In addition to the permanent appropriation of $50,000 provided under the Second Morrill Act, each of the 54 jurisdictions receives a minimum of $150,000 under the Bankhead-Jones Act, with any additional allotment being apportioned among the jurisdictions in proportion to their populations. Monies are paid directly to State Treasurers and, in the event that more than one land-grant institution exists in a State, State Legislatures must provide by statute, for the division of these monies. Funds may not be used to purchase land, nor may they be applied to the purchase, erection, repair, or preservation of buildings. Each land-grant institution is required to provide annually to the U.S. Office of Education a report on the expenditure of monies under this program.

Program Scope:

In fiscal year 1976, $12,200,000 was apportioned among the 54 jurisdictions in grants ranging in size from $200,424 to $335,575. The average grant per jurisdiction was $225,926. Approximately 94% of these funds were used for salaries of instructors and the remaining 6% was expended for instructional equipment. Over the history of the program, the average breakdown of expenditures has been 95% for faculty salaries and 5% for instructional equipment.

Of the 72 land-grant institutions, only Cornell University in Ithaca and the Massachusetts Institute of Technology retain elements of private control and all of the land-grant colleges offer educational programs of more than two years. Currently, 17 States and the District of Columbia maintain two land-grant institutions, with the second land-grant institution in 16 of the States being established under the provisions of the Second Morrill Act of 1890. Nineteen of the land-grant institutions are predominantly black. In FY 1976 the average grant per institution was $169,444.

Program Effectiveness and Progress:

The land-grant colleges and universities program assists 72 land-grant institutions in meeting the continuing costs of instruction and equipment. Since grants form a very small part of institutional budgets and the use of land-grant monies is of a wide discretionary nature, the impact of these funds is difficult to assess.*

Ongoing and Planned Evaluation Studies:

None.

Sources of Evaluation Data:

Program files, Division of Training and Facilities, Bureau of Postsecondary Education.

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* In 1973, land-grant awards account for less than .3 of one percent of total expenditure. In FY 1976, this fell to .2 of one percent.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

College Teacher Fellowships

Legislation:

HEA Title IX, Part B (Replaces Title IV of the National Defense Education Act of 1958; Public Law 85-864; as amended; 20 U.S.C. 462.); as amended Public Law 94-482.

Expiration Date:

September 30, 1979

Funding History:

Year	New Fellowships Authorized	New	Fellowships Support Continuing	Total	Appropriation
1965	3,000	3,000	3,000	6,000	$32,740,000 1/
1966	6,000	6,000	4,500	10,500	55,961,000 2/
1967	7,500	6,000	9,000	15,000	81,957,000 3/
1968	7,500	3,328	12,000	15,328	86,600,000 4/
1969	7,500	2,905	9,328	12,233	70,000,000
1970	7,500	2,370	6,233 (a)	8,603	48,813,000
1971	7,500	2,100	6,245 (b)	8,345	47,285,500
1972	7,500	0	4,650 (c)	4,650	26,910,000 5/
1973	7,500	0	2,980 (d)	2,980	20,000,000 6/
1974	7,500	0	880 (e)	880	5,806,000 7/
1975	7,500	0	95 (f)	95	4,000,000 8/
1976	7,500	0	24 (g)	24	1,000,000 9/
1977 10/	7,500	--	--	--	Deferred

1/ $177,000 of FY 1965 appropriations were transferred for payment of teacher cancellations, NDEA II.

2/ $137,000 of FY 1966 appropriations were transferred for payment of teacher cancellations, NDEA II.

3/ $1,115,000 of FY 1967 appropriations were transferred for payment of teacher cancellations, NDEA II.

4/ $325,000 of FY 1968 appropriations were transferred for payment of teacher cancellations, NDEA II.

5/ $48,150 of FY 1972 appropriations were transferred to the National Science Foundation to help finance the Foundation's "Survey of Earned Doctorates." Also, $9,000 was obligated for the Advisory Council on Graduate Education."

6/ $60,000 of FY 1973 appropriations were transferred to the National Science Foundation to help finance the Foundation's "Survey of Earned Doctorates."

7/ $65,000 of FY 1974 appropriations were transferred to the National Science Foundation to help finance the Foundation's "Survey of Earned Doctorates."

8/ $130,500 of FY 1975 appropriations were transferred to the National Science Foundation to help finance the Foundation's "Survey of Earned Doctorates."

9/ $81,300 of FY 1976 appropriations were transferred to the National Science Foundation for the "Survey of Earned Doctorates." $125,000 was transferred to the State Facilities Commissions to cover administrative costs. $300,000 of the FY 1976 appropriations were transferred to the NEA Title I Commissions.

(a) Includes 170 special fellowships for veterans.
(b) Includes 770 special fellowships for veterans and 200 fourth year fellowships.
(c) Includes 180 special fellowships for veterans.
(d) Includes 880 special fellowships for veterans.
(e) All 880 fellowships are special fellowships for veterans.
(f) All 95 fellowships are special fellowships for veterans.
(g) All 24 fellowships are special fellowships for veterans.

10/ No specific authorization for the EPDA Personnel Fellowships is contained in the Education Amendments of 1976.

Program Goals and Objectives:

The original objectives of this program were to increase the supply of well-trained college teachers and encourage the development of doctoral level education on a broad geographic basis by providing three-year fellowship support for graduate students. However, in recent years the shift to a condition of oversupply of doctorates has resulted in diminished funding and a change in focus toward training of returning veterans who were previous Fellows.

Program Scope:

This program aids graduate schools in strengthening their doctoral programs, in developing interdisciplinary programs tailored to prepare teachers in fields of emerging manpower needs, and in helping veterans formerly on fellowships resume their education in order to prepare for academic careers.

Each fellowship covers a three year period with a possible fourth year and provides each fellow with a $3,000 a year stipend and $500 per year per dependent. In addition, a $3,000 per year educational allowance is provided to the institution for each fellow actively enrolled to cover tuition and other non-refundable fees.

Panels of academic consultants review institutional applications and recommend specific doctoral programs to the Commissioner for final approval. Funds for these programs are made to institutions which reallocate them to individual graduate students selected by institutions themselves.

Program Operations:

Funds budgeted for the College Teacher Fellowship Program in FY 1976 will be used to support 24 returning veterans during the FY 1976-77 year as the program continues to be phased out in light of existing supply of and demand for recent graduates with advanced degrees. The year 1976-77 is expected to be the last year of funding for this Program since all fellows will have completed their tenure by the summer of 1977.

Program Effectiveness and Progress:

Since the original objective of increasing the supply of college teachers is no longer applicable, the current program activity can be judged only in terms of its effectiveness in serving returning veterans. These veterans will have the opportunity to complete the fellowship programs which they had begun prior to entering military service. From data on past outcomes, 3 of every 4 fellowship holders who complete their program have been employed by institutions of higher education. Given the current demand for college teachers there is some question that this ratio will be maintained. Authorization for this program has been repealed by the Education Amendments of 1976.

Ongoing and Planned Evaluation Studies:

None. Closing out all old records and prior years will receive top priority.

Sources of Evaluation Data:

Study of NDEA, Title IV Fellowship Program, Phase II, Bureau of Social Science Research, Washington, D. C., July 1970.

Program files, Division of Training and Facilities, Bureau of Postsecondary Education.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Higher Education Personnel Fellowships

Legislation:

Education Professions Development Act; Part E, Section 541 and 542, Public Law 90-35; 20 U.S.C. 119b and 20 U.S.C. 119b-1

Expiration Date:

June 30, 1976

Funding History:

Year	Total Authorization	Fellowships Appropriation
1969	$21,500,000	$2,200,000
1970	36,000,000	5,000,000
1971	36,000,000	5,000,000
1972	36,000,000	5,044,000
1973	5% or more of total	2,172,000
1974	"	2,100,000
1975	"	530,000
1976	"	-0-
1977 1/	--	--

1/ No specific authorization for the EPDA Personnel Fellowships is contained in the Education Amendments of 1976.

Program Goals and Objectives:

The purpose of this program is to increase the number and/or capabilities of teachers, administrators and specialists at the postsecondary level, in areas of critical need. Funds provide one and two-year fellowships for graduate study.

Program Operations:

Support is provided to: (1) programs that have a high promise for improvement over past practices in their training of higher education personnel; (2) programs that prepare personnel for the higher education needs of students from low-income families; (3) programs that train and retrain teachers, administrators, or educational specialists for junior colleges and two-year community colleges located in urban areas; (4) programs that prepare personnel in higher education who will serve in developing institutions; (5) programs that prepare administrators, including trustees, presidents, deans, department chairmen, development officers, and financial aid officers; (6) programs that provide graduate level education for women, Native Americans, and the bilingual training for careers in higher education; (7) programs that are a basic combination of the above priorities and which show evidence of effective communication between faculty, students, administration, and where appropriate, local communities in the planning and implementation of the proposed program.

Institutions of higher education apply directly to the Office of Education for fellowships. Applications are reviewed by panels of faculty members and administrators who represent American higher education. Their recommendations are made to the Commissioner of Education.

Fellowship support can be provided for one or two year programs. Financial assistance is distributed in the following manner: $3,000 paid to students for each fellowship year; fellows are entitled to $500 during the fellowship year for each eligible dependent; the institution receives $3,000 a year for each fellow to pay for his tuition and required non-refundable fees.

Program Scope:

Some indication of the program's reach and operation can be obtained from program funding data.

Fiscal Year

Output Measures	1973	1974	1975 1/
Number of Institutions Participating	62	47	22
Number of Approved Programs	65	47	22
Number of Fellowship Awarded			
Total	441	316	78
(New)	(92)	(250)	(78)
(Continued)	(349)	(66)	(0)
Number of Fellowships Awarded in Training of Personnel As:			
Total	441	316	78
Teachers	(286)	(167)	28
Education Specialist	(44)	(67)	14
Administrators	(111)	(82)	36
Number of Fellowships Awarded to Train Personnel to Serve in:			
Total	441	316	78
Junior Colleges	(344)	(262)	52
Other Institutions	(97)	(54)	26
Average Yearly Amount of Fellowships	$6,500	$6,500	$6,500

1/ No FY 1976 funds were appropriated for the continuation of this program.

Program Effectiveness and Progress:

Because of sharply reduced funding levels, it is believed that this Program has had only minimal impact upon the diversity of institutions and training functions outlined under "Program Operation" in recent years. The number of participating institutions in FY 1975 decreased by 65 percent since FY 1973 and the number of Fellowships awarded has decreased by 82 percent. No funds were available in FY 1976.

Ongoing and Planned Evaluation Studies:

None

Sources of Evaluation Data:

Program files, Division of Training and Facilities, Bureau of Postsecondary Education.

Abt Associates, Cambridge, Massachusetts. A Study of the Education Professions Development Act Training Programs for Higher Education Personnel. February, 1973.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

EPDA, Part E Institutes

Legislation:

Education Professions Development Act of 1967 as amended. Part E, Section 541 and 542, Public Law 90-35; 20 U.S.C. 119b and 20 U.S.C. 119b-1; Section 533, P.L. 94-482 (NOTE: Section 543 was repealed by Section 141(c)(1)(G) P.L. 92-318)

Expiration Date:

September 30, 1979

Funding History:	Year	Total Authorization	Institutes Appropriation
	1969	$21,500,000	$4,700,000
	1970	36,000,000	5,000,000
	1971	36,000,000	5,000,000
	1972	36,000,000	5,000,000
	1973	5% or more of the total EPDA Appropriation	5,132,000
	1974	"	-0-
	1975	"	1,570,000
	1976	"	-0-
	1977	10% or more of total Part B Programs 1/	Deferred

1/ Section 533(b) authorizes funding of institutes. However, the funding authorization specifies of $75 million is for Part B which includes a new section 532, "Teacher Centers".

Program Goals and Objectives:

The purpose of this program is to train teachers, administrators, or education specialists for higher education by providing support for institutes and short-term training programs. Such institutes focus upon specialized topics having practical interest and application to the current responsibilities of these teachers, administrators, and specialists.

Program Operation:

This program provides support for in-service or pre-service part- or full-time, up to 12 months duration; training of college personnel in a variety of academic fields, and other areas such as instructional methods and equipment, administrative skills, and student personnel services. Grants to the institution conducting the training cover all direct and indirect operating costs, and participant support.

Program Scope:

In FY 1974, no institutes were funded. In FY 1975, allocation of $1.57 million funded 57 institutes, accommodating about 2,500 persons. One-third of these institutes were for the improvement of the skills of business officers and student financial aid officers. No institutes are being funded in FY 1976.

Program Effectiveness and Progress:

Because of the absence of funding in FY 1976, Program impact was nonexistent in the past year. However, a past evaluation found that "the demand for skilled personnel was uniformly strong across different types of institutions and institutional decision-makers in 1973-74. The major training needs identified were not on research or instruction but on planning and interpersonal relations. These are areas at the core of many local EPDA V-E programs, especially the institutes." The report concluded that the Institutes' program emphasis on the training of administrators was precise in relation to the expressed need. Section 533, Part B, of the Education Amendments of 1976 reauthorizes the Institutes but the appropriation has been deferred.

Ongoing and Planned Evaluation Studies:

None

Sources of Evaluation Data:

Program files, Division of Training and Facilities, Bureau of Postsecondary Education.

Abt Associates, Cambridge, Massachusetts. A Study of the Education Professions Development Act Training Programs for Higher Education Personnel. February, 1973.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

College Personnel Development, Fellowships for the Disadvantaged (CLEO)

Legislation:

HEA, 1965, Title IX, Part D, as amended Public Law 94-482.

Expiration Date:

September 30, 1979

Funding History:

Year	Authorization	Appropriation
1973	$1,000,000	$ 0
1974	1,000,000	750,000
1975	1,000,000	750,000
1976	1,000,000	750,000
1977	1,000,000	Deferred

Program Goals and Objectives:

One of the purposes of Title IX, D is to make grants to public and private agencies and institutions for the purpose of assisting persons from disadvantaged backgrounds, as determined by the Commissioner of Education, to undertake training in the legal profession. The Council on Legal Education Opportunity was established for the purpose of bringing about a significant increase in the number of lawyers from minority and disadvantaged groups. The CLEO Program, formerly funded by OEO, is now partially funded by DHEW. The FY 1974 appropriation was the first for the Program under OE direction.

Program Operations:

Funds are granted directly to the Council on Legal Educational Opportunity (CLEO) which make the awards and administer the program. Prior to entering law school, recipients attend a six to eight week intensive summer pre-law preparation program: they are then supported for three years of legal training with a $1,000 fellowship. In addition, participating law schools waive the tuition and fees that would normally be charged to the students.

Program Scope:

In Fiscal Year 1975, OE funded 320 continuation fellowships and 212 new fellowships.

It is estimated that there were approximately 27,500 minority graduate students in the U.S. in 1975 at Ph.D. granting institutions. Section 966 of Title IX of Part D is directed, however, only to potential law school students from the minority/disadvantaged population. While the exact number of this group is unknown, it is estimated that less than 3.0 percent of lawyers in the U.S. are from minorities and that the percentage currently enrolled in law schools is disproportionately low in relation to their undergraduate participation. Holders of CLEO fellowships constitute a small proportion of minorities/disadvantaged currently enrolled in law schools.

Program Effectiveness and Progress:

Since it began operation in 1968, CLEO has experienced a retention rate among its first year students of about 80%, a record which compares favorably with the rate of 77% for law students as a whole. Of those students who entered the program between 1968 and 1971 and thus have had time to complete law school, 65% have received their degrees, a record equal to the national record.

Ongoing and Planned Evaluation Studies:

None

Sources of Evaluation Data:

American Council on Education, Higher Education Panel Report No. 19, Enrollment of Minority Graduate Students at Ph.D. Granting Institutions, August, 1974.

National Association for Equal Opportunity in Higher Education, The National Goal of Equal Opportunity and the Historically Black Colleges, November, 1975.

Program files, Division of Training and Facilities, Bureau of Postsecondary Education.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

College Personnel Development, Allen J. Ellender Fellowships

Legislation:

Education Amendments of 1972. Part C. Section 961 (a) (2). Public Law 92-506.

Expiration Date:

June 30, 1981

Funding History:

Year	Authorization	Appropriation
1973	$500,000	$500,000
1974	500,000	500,000
1975	500,000	500,000
1976	500,000	500,000
1977	750,000	750,000

Program Goals and Objectives:

P.L. 92-506 authorizes the Commissioner of Education to make grants to the Close Up Foundation of Washington, D. C. to assist in carrying out a program of increasing the understanding of the Federal Government among secondary school students, their teachers, and the communities they represent. Up to 1,500 fellowships are awarded each year to economically disadvantaged secondary school students and to secondary school teachers.

Program Operations:

Each year a number of cities are selected for the award of grants for Foundation projects. Participants selected are intended to be a socio-economic cross-section of the local population and include teachers as well as students. There is an attempt to package Ellender funds with grants from other foundations and corporations. Funds are used to support seminars and workshops at which political processes, issues, and awareness are explored.

Program Scope:

A total of 1,351 fellowships were awarded during Fiscal Year 1975, 570 to teachers and administrators and 781 to students representing 21 communities. The total amount awarded through December 30, 1975 was $1,482,000, resulting in an average of $336 per fellowship to 4,407 recipients. During the FY 1973-FY 1976 period, $2,000,000 in Ellender Fellowship Funds have been combined with $1,519,508 from corporate and philanthropic support and $6,153,404 in support from the communities from which program participants were selected.

Program Effectiveness and Progress:

Program impact on participants was evaluated for the Close-Up Foundation during 1975 by Social Education Associates. On four major measures of political knowledge and behavior, recipients of Ellender Fellowships increased their comparative scores by from 3 to 13 percent. Testimony by community leaders indicated broad support of the Program concept.

Ongoing and Planned Evaluation Studies:

None

Sources of Evaluation Data:

Close Up Foundation Report of December 30, 1975.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Veterans' Cost-of-Instruction Program

Legislation:	**Expiration Date:**
Section 420 of the Higher Education Act of 1965, as amended by Title X of the Education Amendments of 1972 (P.L. 92-318); as amended by P.L. 93-380	September 30, 1979

Funding History:

Year	Authorization	Appropriation
1973	Unlimited	$25,000,000
1974	"	23,750,000
1975	"	31,250,000 *
1976	"	23,750,000
1977	"	Deferred

* Includes a supplemental appropriation of $7.5 million.

Program Goals and Objectives:

The Veterans' Cost-of-Instruction Program is intended to provide improved and expanded services to veterans attending institutions of higher education. These services include recruitment, counseling, special education programs, and outreach activities. Implicit within the design of the program is the objective of encouraging institutions of higher education to expand and maintain enrollments of veterans.

Program Operations:

Institutions of postsecondary education, other than schools of divinity and proprietary institutions, may receive assistance under this program if the applicant satisfies one of four eligibility criteria related to the enrollment of veterans. An applicant institution which did not participate in the program during the previous year must have a minimum of 25 undergraduate veteran students enrolled and may satisfy either one of two criteria. The first is that at least 10% of the total undergraduate enrollment be veterans and that the current proportion of the undergraduate enrollment which is veterans not be any less than that recorded for the previous academic year. In the event that this criterion is not met, the applicant must have a current undergraduate veteran student enrollment which is at least 10% higher than the number of undergraduate veterans enrolled during the previous academic year. An applicant which participated in the program during the previous academic year must have an undergraduate veteran student enrollment which is equal to at least either (1) the number of undergraduate veterans enrolled during the previous academic year or (2) the minimum number of veterans which was necessary for the applicant to establish eligibility during the preceding academic year, whichever is less. These procedures to determine an applicant's eligibility apply only to veterans enrolled on at least a half-time basis.

Applicants which satisfy one of these eligibility criteria receive cost-of-instruction payments pursuant to two major stipulations. The first is that a minimum of 75% of the funds awarded to an institution must be used to establish a full-time Office of Veterans' Affairs, to employ at least one full-time staff member whose sole institutional responsibility is to veterans, and to provide adequate services. These services include (1) programs to prepare educationally disadvantaged veterans for postsecondary education, (2) active outreach, recruiting, and counseling activities through the use of other funds, such as those available under federally assisted work-study programs, and (3) an active tutorial assistance program, including dissemination of information regarding such program. The second stipulation is that any program funds not used for the above activities must be used solely to defray general academic/instructional expenses--such as instructional salaries, instructional equipment, media equipment, and library materials--and, thus, may be non-veteran related. Instructional expenses cannot exceed 25% of an institution's award. Several exceptions to these stipulations are accorded to small institutions (i.e., those enrolling less than 2,500 students and enrolling no more than 70 veterans). Small institutions are required only to provide recruitment and counseling services and to establish a full-time Office of Veterans' Affairs which may be staffed by part-time employees who together assume the responsibility of at least one full-time employee. In addition, small institutions also have the option of entering into a consortium agreement with other, comparable institutions provided that they are in close proximity and that the required services will be available to the veterans on the concerned campuses.

Cost-of-instruction payments to institutions are computed on the basis of the number of undergraduate veteran students enrolled at three accounting intervals which span two academic years. One third of the program funds available for a given academic year are used for an initial payment, based on veteran enrollment data for April 16 of the preceding academic year. The remainder of program funds are released on the basis of veteran enrollment data for October 16 and February 16 of the current academic year, subject to a limitation that the sum of the second and third payments to an institution for any academic year may not exceed twice the amount of the first payment. Cost-of-instruction payments, which are subject to the availability of funds, are computed at the following annual rate:

(1) For students who are current recipients of veterans' benefits accorded under Title 38, U.S.C., either Chapter 31 (1691 funds for vocational rehabilitation) or Chapter 34 (1696 funds for the predischarge educational program, PREP):

(i) $300 per full-time student,
(ii) $225 per three-quarter time student,
(iii) $150 per half-time student, and
(iv) no payment for students not enrolled as at least half-time students.

(2) For students who are current recipients of veterans' benefits accorded under Title 38, U.S.C., Chapter 34 (1692 funds for tutorial assistance); or for students who have previously received benefits accorded under Subchapters V and VI of Chapter 34, Sections 1691 and 1696.

(i) $150 per full-time student,
(ii) $112.50 per three-quarter time student,
(iii) $75 per half-time student, and
(iv) no payment for students not enrolled as at least half-time students.

An additional limitation on cost-of-instruction payments permits no institution to receive more than $135,000 in any one year. Since the program has not been fully-funded, this legislative amendment was added during Fiscal Year 1975 to protect small institutions. To the extent that this limitation makes available funds which would otherwise be apportioned as enormous awards to large institutions, the monies are allotted in such a manner as to ensure that eligible institutions will receive uniform minimum awards of up to $9,000. Should funds still remain available after application of this procedure, they are further distributed to ensure receipt of uniform minimum awards above $9,000--subject to the provision that no institutional awards above $9,000 exceed a cost-of-instruction payment as calculated by the veteran computation procedures described above.

Program Scope:

Total demand for program funds, as calculated by the veteran enrollment computation procedures, amounted to $285,454,162.50--or approximately 8 times the size of the supplemented FY 1976 appropriation of $23,721,840. Award levels on a per veteran basis were determined through a pro rata reduction based on a full-time equivalency count which summed an applicant's full-, three-quarter-, and half-time veteran enrollments within each of the two award level categories. Under this reduction procedure, the award level for veterans in the first category (i.e., current recipients of 1691 and 1696 funds) was $24.90 and the current level for veterans in the second category was $12.45--or about 8% of what the award levels would have been, if the program were fully-funded.

Program Effectiveness and Progress:

In FY 1975, 1,364 institutions applied for program awards of which 108 did not receive assistance. Of these 108, 54 were ineligible since they enrolled fewer than 25 veterans; 9 were ineligible because the applications were from proprietary institutions; 11 were ineligible because the institution was not accredited; 3 withdrew their applications on the grounds that the cost-of-instruction payments would be insufficient to cover the required expenditures; one was ineligible because the institution was a Divinity school; and 33 were ineligible because they failed to meet the veteran enrollment growth factor. Thus, 1,237 institutions (of which 111 were initial applicants and 1,126 were renewal applicants) participated in the program in FY 1976, as compared with 1,206 institutions in FY 1975, 1,009 institutions in FY 1974, and 1,070 in FY 1973.

Award levels ranged from a minimum of $3,463 to the maximum of $135,000.

Ongoing and Planned Evaluation Studies:

A descriptive study of program operations, nature and scope of clients served, and program data collected, etc., is tentatively planned for FY 1977.

Sources of Evaluation Data:

Program Files, Division of Student Services and Veterans Programs, Bureau of Postsecondary Education.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Loans for Construction of Academic Facilities

Legislation:

P.L. 89-329, Title VII-C of the Higher Education Facilities Act of 1965; as amended by P.L. 92-318 (formerly Title III of the HEFA; P.L. 88-204); as amended by P.L. 94-482.

Expiration Date:

September 30, 1979 *

Funding History:

Year	Authorization	Appropriation
1964	$120,000,000	$ 0
1965	120,000,000	169,240,000
1966	120,000,000	110,000,000
1967	200,000,000	200,000,000
1968	400,000,000	0
1969	400,000,000	100,000,000
1970	400,000,000	0
1971	400,000,000	0
1972	50,000,000	0
1973	100,000,000	0
1974	150,000,000	0
1975	200,000,000	0
1976	200,000,000	0
1977	200,000,000	Deferred

* P.L. 94-482, "Education Amendments of 1976", was passed in September 1976. It authorizes "Loans for Construction of Academic Facilities" through October 1, 1979 and expanded the scope of the program by authorizing grants for construction and renovation projects designed to:

(1) Economize on the use of energy.

(2) Bring facilities into conformance with the Architectural Barriers Act of 1968 (making facilities accessible to the handicapped).

(3) Bring facilities into conformance with health safety or environmental protection requirements mandated by Federal, State, or local law.

Program Goals and Objectives:

Loans for Construction of Academic Facilities is one of four programs which include also Annual Interest Grants, Grants for Construction of Undergraduate Academic Facilities, and Grants for the Construction of Graduate Facilities designed to help institutions of higher education meet a national shortage of facilities. The objective of this program has been to help reduce the financial burden on institutions of higher education by making available to them loans with low rates of interest.

Program Operations:

Loans have been awarded pursuant to the following stipulations: (1) that not less than 20 percent of the development cost of the facility be financed from non-Federal sources (this requirement may be waived for schools qualified as developing institutions under HEA Title III), (2) that applicants have been unable to secure the amount of such loan from other sources upon terms and conditions equally as favorable as the terms and conditions applicable to loans under this program, (3) that construction will be undertaken in an economical manner and that it not be of elaborate or extravagant design or materials, and (4) that, in the case of a project to construct an infirmary or other facility designed to provide primarily for outpatient care of students and institutional personnel, no financial assistance be provided such project under Title IV of the Housing Act of 1950.

Loans have been made available to institutions of higher education, to cooperative graduate center boards, or to higher education building agencies (i.e., state agencies empowered by the State to issue tax-exempt bonds on behalf of private institutions of higher education) for the purpose of constructing only academic facilities. Although the law allows for a repayment period of 50 years, loans have normally been made available for 30 years--with exceptions, under certain circumstances, permitting a maximum loan period of 40 years. Interest rates on these loans cannot exceed 3%, per annum. No more than 12.5% of the annual appropriations for this program have been permitted for the extension of loans in any one State.

Program Scope:

This program has not received any appropriations since Fiscal Year 1969, as it was anticipated that the same objectives would be accomplished under the Annual Interest Grants Program and with the use of private capital. Since Fiscal Year 1970, this program has been authorized to make new loans to the extent that funds became available through the termination (primarily through withdrawal) of prior-year loan commitments. During Fiscal Year 1975, the remaining funds released through cancellation of prior loans were approved for new loan commitments.

Since Fiscal Year 1972, program priorities have focused upon the extension of loan commitments to predominantly black colleges. In Fiscal Year 1975, six loan commitments totaling $2,317,000 and supporting construction estimated at $16,843,783) were approved--all to private, four-year colleges. Four of these approvals were loan increases to predominantly black colleges; the remaining two were new loan approvals to predominantly white institutions.

Program Effectiveness and Progress:

Since the inception of the Higher Education Facilities Act of 1963, the Federal Government has provided financial assistance for the construction or improvement of academic facilities throughout the 55 states and territories. During the period Fiscal Year 1965 through Fiscal Year 1975 almost $2.5 billion in direct Federal grants and loans were awarded. In addition, over $1.4 billion in commercial loans were approved for annual interest subsidy support involving an estimated annual commitment of Federal funds approximating $29 million. Over 1,800 institutions of higher education received financial assistance for the purpose of facilities construction and improvement and some 4,000 facilities costing in excess of $10 billion will have been constructed.

Findings of an USOE study 1/ report that the total stock of space in 1974 approximated 1,332,300,000 net assignable square feet. Roughly 25% of this total was constructed between academic years 1968-69 and 1973-74. In addition, construction which will be completed by 1976 will supplement this stock by an estimated 80,000,000 square feet. The study also found that nationally aggregated comparisons of space standards with the space available showed few shortages, both for those categories where very specific space standards have been established (i.e., classrooms, laboratories, and office space) as well as for special use, general use, and support space, while non-academic space shows some excess. Some shortages of space were observed in office space, study space, and laboratory facilities. When disaggregated, the data showed a tendency for some schools (particularly two-year private colleges) to be space-rich and for others (generally, public universities and public two-year colleges) to exhibit some shortages as a consequence of shifts in enrollment patterns. Other major findings noted (a) that neglecting of maintenance, which can increase the need for remodeling, was estimated to be common at approximately 20% of the public sector institutions and 40% of the private sector colleges and (b) that there was little evidence that the drying up of Federal funds has tended to affect college construction decisions.

In view of the large amount of construction over the last 10 years and the anticipated leveling off of higher education enrollments, it appears that the Federal assistance programs for construction of higher education facilities have generally accomplished their objective. While certain areas of the country may still face a shortage of academic space, these deficiencies are believed to be limited, and the existing conditions do not constitute a national problem.

Ongoing and Planned Evaluation Studies:

None

Sources of Evaluation Data:

1/ The Demand for Facilities in the Postsecondary Sector, 1975 to 1990, Joseph Froomkin, Inc., Washington, D. C.; August 15, 1974.

Program files, Division of Training and Facilities, Bureau of Postsecondary Education.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Ethnic Heritage Studies Program

Legislation:	**Expiration Date:**
Elementary and Secondary Education Act of 1965, Title IX, as amended (1972 and 1974).	September 30, 1978

Funding History:	**Year**	**Authorization**	**Appropriation**
	1974	$15,000,000	$2,375,000
	1975	15,000,000	1,800,000
	1976	15,000,000	1,800,000
	1977	15,000,000	2,300,000

Program Goals and Objectives:

This program provides opportunities for students to learn about their own cultural heritage and to study the cultural heritages of the other ethnic groups in the nation.

Each program assisted under this title shall--

(1) develop curriculum materials for use in elementary or secondary schools or institutions of higher education relating to the history, geography, society, economy, literature, art, music, drama, language, and general culture of the group or groups with which the program is concerned, and the contributions of that ethnic group or groups to the American heritage; or

(2) disseminate curriculum materials to permit their use in elementary or secondary schools or institutions of higher education throughout the Nation; or

(3) provide training for persons using, or preparing to use, curriculum materials developed under this title; and

(4) cooperate with persons and organizations with a special interest in the ethnic group or groups with which the program is concerned to assist them in promoting, encouraging, developing, or producing programs or other activities which relate to the history, culture, or traditions of that ethnic group or groups.

Program Operations:

The program authorizes grants to public and private nonprofit educational agencies, institutions and organizations to assist them in planning, developing, and operating ethnic heritage studies programs.

Programs for ethnic heritage studies which are proposed must be planned and carried out in consultation with an advisory committee that is representative of the ethnic group or groups with which the program is concerned. Project activities include curriculum material development teacher training, dissemination of materials and cooperation with ethnic groups in the community served by each project. Emphasis will be placed on multi-ethnic endeavors that draw upon the cultural pluralism of the community.

In carrying out this title, the Commissioner makes arrangements which utilize (1) the research facilities and personnel of institutions of higher education, (2) the special knowledge of ethnic groups in local communities and of foreign students pursuing their education in this country, (3) the expertise of teachers in elementary and secondary schools and institutions of higher education, and (4) the talents and experience of any other groups such as foundations, civic groups, and fraternal organizations which would further the goals of the programs.

Funds appropriated to carry out this title may be used to cover all or part of the cost of establishing and carrying out the programs, including the cost of research materials and resources, academic consultants, and the cost of training of staff for the purpose of carrying out the purposes of this title. Such funds may also be used to provide stipends (in such amounts as may be determined in accordance with regulations of the Commissioner) to individuals receiving training as part of such programs, including allowances for dependents.

In FY 1974, a total of 42 projects were funded with an average award of $56,000. During FY 1975 a total of 49 grants averaging $39,000 were made in support of programs in 32 states and the District of Columbia. During FY 1976 a total of 49 grants averaging $37,000 were funded in 32 states, the District of Columbia and the Trust Territory of the Pacific Islands.

1976 Workload Data

Total awards. . . .	$1,800,000
Average Project Cost.	$37,000
Ethnic Groups Represented	
Single ethnic	25
multi-ethnic	24

Training Activities.	$416,000
Number of projects	13
Average cost of training.	$32,000
Average length of training.	9 months

Curriculum Activities. . . .	$1,110,000
Number of projects	30
Number of single-ethnic projects	20
Number of multi-ethnic projects	10
Average project cost.	$37,000
Ethnic groups represented . . .	15

Dissemination Activities.	$273,996
Number of projects	6
Average project cost.	$45,666
Ethnic groups represented . . .	10

Program Effectiveness and Progress:

Each project contains a self-assessment in terms of constant review and professional criticism as well as feedback from teachers and students. One project in the FY 1975 program established a task force which assessed the products and process of the 1974-75 EHS program.

This assessment shows that there is wide and growing use at the state and local levels of curricula materials which have been developed with EHS grants. California, Illinois, and Michigan are requiring multicultural or ethnic heritage studies statewide. Results of the initial Ethnic Heritage Projects are beginning to influence teacher training, textbook selection, and curriculum development in these states.

Teachers in several localities are using curricula materials developed by 22 EHS projects. Examples of this use are to be found in Charleston County (South Carolina) School District, at Kirkwood Community College in Cedar Rapids, Iowa; Boston, Massachusetts; Cleveland, Ohio, and in Detroit, Michigan. In Detroit, when the Federal court has jurisdiction of public school desegregation, the court has ordered that ethnic heritage studies be part of the curriculum. The Detroit schools are using material developed by the EHS project of the Southeast Michigan Regional Ethnic Heritage Studies Center supported by Title IX.

Other users of Title IX EHS curricula materials include regional resource centers, state bicentennial commissions, state historical societies, education associations, libraries and museums, and theater groups.

Ongoing and Planned Evaluation Studies:

None.

Sources of Evaluation Data:

Program information and project reports.

Assessment of the First Year of the Ethnic Heritage Studies Program, a report prepared under a Title IX Elementary and Secondary Education Act Grant awarded by the Ethnic Heritage Studies Branch of the U.S. Office of Education to the National Education Association, 1976.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Domestic Mining and Mineral and
Mineral Fuel Conservation Fellowships

Legislation: Part D of Title IX of the Education Act of 1965, as amended; 20 U.S.C. 1134 n-q.

Expiration Date: October 1, 1979

Funding History:

Year	Authorization	Appropriation
1975	*	$1,500,000
1976	*	$3,000,000
1977	*	Deferred

* "Such sums as necessary" are authorized to support fellowships not in excess of 500 in number.

Program Goals and Objectives:

The purpose of this legislation is to assist, through fellowships, graduate students of exceptional ability for advanced study in domestic mining and mineral and mineral fuel conservation including oil, gas, coal, oil shale, and uranium. Such students must demonstrate financial need to qualify.

Program Operations:

Institutions of higher education apply once a year directly to the Office of Education. The applications are reviewed and rated by panels of academic experts chosen from outside the Office. Allocations of fellowships are then made to the successful applicants who, in turn, select and nominate to the Commissioner of Education the persons they recommend for these fellowships.

Fellowships are awardable for any level of pre-doctoral study. Tenure cannot exceed 36 months.

Each fellow receives a stipend of $250 a month and a dependency allowance of $25 a month for each dependent, up to five dependents. The institution receives an educational allowance of 150 percent of what is paid to each fellow as stipend. Each fellow is also entitled to reimbursement for actual and necessary travel expenses from his ordinary place of residence to the institution and return to such residence.

Program Scope:

Year	Total No. of Fellows	No. of New Fellows	No. of Continuing Fellows	Average Cost of A Fellowship
1975	180	180	--	$8,000
1976	375	229	146	$8,000

Program Effectiveness and Progress:

Because the Program has been operating only one year, no evaluation has yet been made.

Ongoing and Planned Evaluation Studies:

None

Sources of Evaluation Data:

Program files.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Postsecondary Education Eligibility and Agency Evaluation

Legislation:

Accreditation: Education Amendments of 1952 (P.L. 82-550), subsequent Legislation.

Eligibility: Higher Education Act of 1965, as amended including P.L. 94-482.

Expiration Date:

N/A

Funding History: N/A

Program Goals and Objectives:

The Division of Eligibility and Agency Evaluation (DEAE) and the U.S. Commissioner of Education's Advisory Committee on Accreditation and Institutional Eligibility (ACAIE) function to "orchestrate" a system of determining initial eligibility for postsecondary educational institutions to participate in various federal student assistance programs.

Program Operations:

Initial eligibility is granted to postsecondary institutions and programs which meet certain statutory and other prerequisites: (a) state licensing or chartering, (b) accreditation by private non-governmental accrediting bodies or state agencies recognized by the U.S. Commissioner of Education; and (c) compliance with federal non-discrimination guidelines. ACAIE/DEAE formulate and publish accrediting criteria for recognition which state/private accrediting bodies must comply for recognition. Only those state/private accrediting bodies with approved procedures and jurisdictions may qualify in the sense that their "accreditation" functions as an aspect of institutional eligibility for federal funds. ACAIE/DEAE conduct periodic reviews of the accrediting bodies' policies related to the U.S. Office of Education's published criteria for the purpose of renewal of recognition.

Program Scope:

As of FY 1975, ACAIE/DEAE have through the "tripartite" institutional eligibility process--private accrediting associations, state approval and licensing agencies, and the Federal government:

(a) recognized 66 private accrediting associations;
(b) recognized 12 state approval agencies; and
(c) certified for federal eligibility 8,600 postsecondary institutions.

Program Effectiveness and Progress:

In June 1972, the Office of Education contracted with the Brookings Institution, and later with the National Academy of Public Administration to conduct a study in the use of accreditation for eligibility purposes.

Completed in 1974, "Private Accreditation and Public Eligibility Study" by Dr. Harold Orlans, et al., recommended, among other findings, that:

(1) The Office of Education institute a program to improve the training of state education staffs to gain their cooperation in enforcing federal eligibility conditions, and to promote a fuller and more prompt exchange of information about postsecondary schools;

(2) Federally guaranteed student loan borrowers be protected in the event of school closure;

(3) Colleges as well as proprietary schools be required to notify students about their tuition refund policy; and,

(4) Information about changes in the eligibility of postsecondary schools for Federal and State programs, FTC cease and desist orders, restrictions imposed by the courts or state officials and accrediting agency actions be more promptly and widely circulated.

Moreover, the report strongly recommended that a study be made to ascertain the number, proportion, and kinds of degree-granting and non-degree granting schools which engage in specified malpractices such as deceptive advertising and recruiting, and inequitable refunds. Additionally, the "Private Accreditation and Public Eligibility Study" played a significant role in assisting the BPE/DEAE to successfully have Congress include new statutory program eligibility language in the Education Amendments of 1976.

Subsequently, in July 1975, the Office of Education contracted with the American Institutes for Research (AIR) to develop and field test a degree and non-degree granting institutional informational system which would provide accurate and timely information on their student consumer practices. Hopefully, the study findings will identify the means by which information can be made available which will enable potential students to make better informed choices to avoid or to deal appropriately with potentially abusive institutional student consumer practices. Although the study is not to be completed until December 1976, some of the early study data collected from the 37 participating schools and over 3,000 enrolled students show:

(a) varying student consumer practices between degree and non-degree granting schools;

(b) disparities in advertising practices among the different types of institutions; and

(c) lack of uniform procedural practices to handle student consumer complaints.

Ongoing and Planned Evaluation Studies:

A study is now underway to accurately appraise the current status of state authorization and oversight, especially as these functions provide eligibility to participate in federal assistance programs. The study will involve a comprehensive mail/telephone survey of all 50 states to gather documents (laws, regulations, policies) and other data on institutional monitoring and enforcement mechanisms.

Sources of Evaluation Data:

Program files, Bureau of Postsecondary Education/DEAE

Orlans, Harold, et al., Private Accreditation and Public Eligibility, Volumes I and II, The Brookings Institution and the National Academy of Public Administration Foundation, Washington, D.C., 1974.

Interim reports.

A Study for Establishing Consumer Protection Strategies, American Institutes for Research, Palo Alto, California, September 1976.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Education for the Public Service

Legislation:	**Expiration Date:**
P.L. 89-329 Higher Education Act of 1965 (as amended by P.L. 92-318), Title IX, Part A and Part C	October 1, 1979

Funding History:	Year	Authorization*	Appropriation
	1973	$30,000,000	0
	1974	40,000,000	0
	1975	50,000,000	$4,000,000
	1976	50,000,000	4,000,000
	1977	50,000,000	4,000,000

*In addition to these authorizations for Part A, the Commissioner is authorized to appropriate such sums as may be necessary under Part C.

Program Goals and Objectives:

The overall goal of this program is to expand and improve the training of persons for the public service. There are two parts to the program. The objective of Part A, which authorizes grants to institutions of higher education, is to establish, strengthen and improve programs for graduate or professional students who plan to pursue a career in the public service. The goal of Part C, which authorizes the award of fellowships for graduate and professional students who plan to pursue a career in the public service, is to assist some qualified students in obtaining specialized training.

Program Operations:

Public service awards are made on a competitive basis. Applications are sent to all four-year colleges and universities inviting them to apply for institutional and/or fellowship grants. Institutions receiving fellowship grants agree to recommend to the Commissioner students of superior promise who plan to enter public service.

College graduates apply for fellowships by applying to institutions which have been awarded fellowship grants. Each fellow's stipend is $3,000 plus $504 for each dependent. In addition, an educational allowance of $3,000 per year is provided the institution for each fellow enrolled in the program. Fellowships are awarded for full-time study only for a minimum of 12 up to a maximum of 36 months.

No set amounts are authorized for institutional grants. Grants may be used for improving faculty, expanding public service programs for graduate study, strengthening administrative operation, carrying out cooperative arrangements with other graduate or professional schools and the purchase or rental of educational materials.

Program Scope:

The first grants were awarded in fiscal year 1975. That year, institutional grants totalling $2.3 million went to 58 institutions. Fellowship grants totalling $1.7 million went to 52 institutions which awarded them to 263 fellows.

In fiscal year 1976, institutional grants totalling $2 million went to 80 colleges and fellowship grants totalling $2 million went to 73 colleges and benefitted 344 fellows.

Program Effectiveness and Progress:

Most institutions report the majority of fellows are making satisfactory progress. However, since this program is so new and most public service Master's degree programs exceed a year, only fragmentary data is available on a few graduates.

Reports on use of institutional grants indicate some hiring of professional staff has taken place.

Ongoing and Planned Evaluation Studies:

HEA Amendments of 1976 have mandated a report on and evaluation of the graduate fellowship programs. OPBE is working with the program staff with whom it will jointly sponsor a modest evaluation effort.

Sources of Evaluative Data:

Program Files, Division of Training and Facilities.

H. EVALUATION OF EDUCATION PROGRAMS FOR THE HANDICAPPED

H. Evaluation of Education Programs for the Handicapped

The several programs authorized under the Education of the Handicapped Act have had one or more of three basic purposes: (a) provision of direct services, (b) development and demonstration of new technologies, teaching methods, and materials, and (c) development of Special Education manpower. In each of the programs, the role of the Federal government has been a stimulative one, whereby "seed" money is provided to States and other grantees, in order to stimulate increases in both the quantity and quality of services provided to handicapped children. The strategy for evaluating programs for the handicapped has been designed to determine if the programs have accomplished their specific purposes and, more generally, have had the desired stimulative effect. Accordingly, evaluation studies have been of two kinds: (a) those designed to obtain objective data on the impact and effectiveness of specified programs, particularly those which represented a major Federal investment of funds; and (b) those designed to provide policy-relevant, planning information to enable the Federal government to target its resources more effectively.

Studies of the first type have, in general, demonstrated that these programs have accomplished their specific purposes. However, attempts to demonstrate that those programs that have been studied (State Grants, Manpower Development) have the desired stimulative effect have been inconclusive. Efforts to isolate the stimulative effect and to demonstrate a causal relationship attributable to Federal programs have been complicated by forces outside the span of control of Federal program managers. Examples of these forces range from increasingly effective lobbying efforts by parent and professional groups with special interests in education of the handicapped to court cases which have demonstrated that handicapped children have not had equal access to educational opportunity. Because of these events, resources for the handicapped have increased and there has been a corresponding gradual increase in the number of handicapped children receiving services. As noted above, the degree to which Federal programs have contributed to this increase has not been determined. Furthermore, it appears that further attempts to demonstrate this effect may be fruitless because recent legislation has resulted in a significant redefinition of the Federal role in education of the handicapped.

The Education of All Handicapped Children Act of 1975, P.L. 94-142 amends EHA, Part B in the following ways:

(a) It explicitly states that Federal policy is to assure access to free, appropriate, public education for all handicapped children by the States;

(b) It specifies that the unserved have first priority and the most severely handicapped have second priority for services relative to all handicapped children;

(c) It indicates that they are to be served in the least restrictive environment consistent with their needs and abilities;

(d) It specifies that each child shall have the benefit of annual, individualized evaluation and prescription.

This redefinition of the Federal role has a number of implications for future evaluation studies of handicapped programs which, due to the recency of the Act, are not yet clearly developed. However, in general, the following represents future evaluation considerations:

1) The emphasis of equal access in the 1975 Act requires that the primary index of impact be the progress made by States in providing educational services to all handicapped children.

2) Studies of handicapped programs, other than Part B, should have the primary goal of determining to what degree each program contributes to the newly-defined Federal role. That is, the new Part B program has objectives of truly major scope; in order to meet these objectives, most other Federal education programs for the handicapped will have to be measured in terms of the degree to which each contributes to the accomplishment of Part B objectives;

3) The new program places a heavy responsibility on State Education Agencies (SEAs), Intermediate Education Units (IEUs), and Local Education Agencies (LEAs), for coordinating resources and service delivery systems. The evaluation strategy will have to include assessment of the efforts of these agencies to accomplish the legislative objectives;

4) The activities which Federal program managers will control are primarily those of (a) insuring that the States comply with the requirements of the legislation, and (b) providing technical assistance to the various agencies, especially SEA, which have the primary responsibility for delivery of services. As part of the Commissioner's responsibility to assess and assure the effectiveness of the implementation of the Act, the compliance and technical assistance activities of Federal managers will be a major focus on evaluation studies;

5) A new dimension will be added to the evaluation strategy in that the Federal evaluators also need to provide technical assistance to the States so that the States can evaluate their own efforts and those of the IEUs and LEAs; and

6) Finally, studies of the effectiveness of State and local fiscal decision-making will assume a greater prominence in the evaluation strategy. That is, the States which are most successful in achieving the legislative objectives will be those which allocate State resources and coordinate and influence the allocation of local resources to achieve maximum coverage of children.

ANNUAL EVALUATION REPORT ON
EDUCATION PROGRAMS

Program Name:

Aid to States for Education of Handicapped Children in State-Operated and State-Supported Schools

Legislation:	Expiration Date:
ESEA Title I, Section 121 (P.L. 89-313): as amended by P.L. 93-380, Section 101 (a) (2) (E)	September 30, 1978

Funding History	Year	Authorization[1]	Appropriation
	1966		$15,900,000
	1967		15,100,000
	1968		24,700,000
	1969		29,700,000
	1970		37,500,000
	1971		46,100,000
	1972		56,400,000
	1973		75,962,098
	1974		85,777,779
	1975		87,500,000
	1976		95,869,000
	1977		111,433,452

Program Goals and Objectives:

According to the legislation, this program was designed to provide Federal assistance to State agencies which are directly responsible for providing free public education for handicapped children. Handicapping conditions include mental retardation, hard of hearing, deaf, speech impaired, visually impaired, seriously emotionally disturbed, crippled, or other health impairments requiring special education. State agencies are authorized to use the Federal assistance only for programs and projects which are designed to meet the special educational needs of these handicapped children. Acquisition of equipment and construction of school facilities may be included in these projects. Assurances must be given that each child will be provided with programs to meet his special educational needs. The primary emphasis of this program is to fund institutions: 1) which provide full-year residential programs to those children requiring this service, 2) which provide special itinerant

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1/ The authorization level under this legislation is determined by formula and taken from the total Title I appropriation prior to any other allocation of Title I funds. See text for definition of the formula.

services on a part-day basis for children who are enrolled in regular day school but require special, additional assistance, and 3) for children confined to their homes because of the severity of their handicap.

Program Operations:

Federal funds under this program are determined by a formula which specifies that for each handicapped child in average daily attendance (ADA) in an elementary or secondary educational program operated or supported by a State agency, the agency receives an amount equal to half the State expenditure for a child enrolled in its public schools, or half of the national average, whichever is higher.

At the Federal level, organizational responsibility for this program is vested in the U.S. Office of Education, Bureau of Education for the Handicapped (BEH). Allocations under the program, as determined by BEH, are issued to State agencies. Applications for the project funds are then submitted by participating institutions to their supervising State agency. The agency reviews the applications, and forwards those which it approves to the State educational agency (SEA) for final approval and the release of funds. The participating institution is required to submit end-of-year reports to its State agency to account for the expenditure of funds and to provide an evaluation of project activities.

Program Scope:

In FY 76 approximately $96 million were allocated to 50 States, the District of Columbia, Puerto Rico and Guam.

The funds allocated were administered by 136 State agencies which supervised project participation at about 3,739 State schools and 2,517 local Educational Agencies. The average daily attendance reported by these institutions were 188,078 children for the school year 1975-76. Those children benefiting under the program are distributed across the following handicap categories approximately as follows: Mentally Retarded - 113,006, Deaf and Hard of Hearing - 22,939, Emotionally Disturbed - 24,453, Crippled and Other Health Impaired - 18,161, Visually Handicapped - 9,519. The average per pupil expenditure is $510.

Ongoing and Planned Evaluation Studies:

There are no current plans for evaluation of this program.

Source of Evaluation Data:

Bureau of the Education of the Handicapped program information.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

State Grant Program

Legislation:

P.L. 91-230, Title VI, Part B, Assistance to States for Education of Handicapped Children, as amended by P.L. 93-380. Sections 612, 613, 614, and 615 as amended by P.L. 94-142.

Expiration Date:

Indefinite

Funding History	Year	Authorization	Appropriation
	1967	$ 51,500,000	$ 2,500,000
	1968	154,500,000	15,000,000
	1969	167,375,000	29,250,000
	1970	206,000,000	29,190,000
	1971	200,000,000	34,000,000
	1972	216,300,000	37,500,000
	1973	226,600,000	50,000,000
	1974	226,600,000	47,500,000
	1975	1/	200,000,000 2/
	1976	1/	200,000,000 3/
	1977	4/	315,000,000

Program Goals and Objectives:

According to the statute, the primary goal of this program is to provide full educational opportunities to all handicapped youth. Through grants to States, the program design is to assist in the initiation, expansion and

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1/ Includes $90 million in a second supplemental appropriation bill. Formula from P.L. 93-380. Allocation to States on the basis of the number of children in each State aged 3-21 multiplied by $8.75 ratably reduced, with a minimum $300,000 grant.

2/ Double appropriation changing program to advance funding mode.

3/ Includes 90 million from second supplemental

4/ New formula from P.L. 94-142: Maximum each State is entitled to receive for that year is equal to number of handicapped children aged 3-21 receiving special education and related services multiplied by a specified percent of the national average per pupil expenditure.

improvement of programs and projects for the handicapped (ages 3 - 21 years of age) at the preschool, elementary and secondary levels. The grants are intended to serve as a catalyst to increase programs for handicapped children on a comprehensive basis involving both Federal and local resources.

Program Operations

From FY 75 through FY 76, non-matching grants were made to States and outlying areas. The funds were allocated to the States on the basis of the number of children in each State 3-21 years of age multiplied by $8.75, ratably reduced with a minimum $300,000 grant. The program is advanced funded, i.e., funds appropriated in a given fiscal year are obligated for expenditure in the succeeding fiscal year. Provisions were made so that no State or outlying area received less than their FY 74 appropriation. Any State requesting a grant is required to submit to the Commissioner, through its State Educational Agency, a State plan. State plans are required to demonstrate: (1) the policies and procedures used to expand and/or improve the program and projects; (2) demonstrate the manner in which the administration of the plan is to be conducted; (3) provide assurance that the control and administration of funds is performed by a public agency; and, (4) assure that every attempt will be made to identify and locate all children with handicapping conditions. Beginning in FY 77, the Education of all Handicapped Children Act, P.L. 94-142, provides a new State distribution formula. The formula determines the maximum funding level each State is entitled to receive. By formula, maximum funding is equal to the number of handicapped children aged 3-21 receiving special education and related services multiplied by a percentage of the National average per pupil expenditure. The percentage increases yearly, up to a maximum of 40 percent in 1982. This formula will result in the following estimated authorizations:

Fiscal Year of Use	Percent of Per Pupil Expenditures	Estimated Full Funding
1978	5%	$ .387 billion
1978	10%	.775 billion
1980	20%	1.320 billion
1981	30%	2.320 billion
1982	40%	3.160 billion

In determining the amount of funds to be allocated to each State:

1) no more than 12 percent of the number of all children in the State, ages 5-17, may be counted as handicapped;

2) up to $1/6$ of the 12 percent counted may be identified as having specific learning disabilities;

3) 5 percent of the total funds received or $200,000 (whichever is greater) may be used by States for administrative costs;

4) In FY 78, 50 percent of Part B funds will be disbursed by States to LEA's and intermediate educational units if they meet legislative requirements and priorities and are able to qualify for an allocation of at least $7,500; and

5) Part B funds that are retained by the State and are not used for administrative purposes must be matched on a program by program basis by the State from non-Federal sources.

Other requirements of P.L. 94-142 are that States provide an education to all handicapped children that is:

1) appropriate and individualized;

2) available to all children 3-18 by September 1, 1978; and

3) expanded to include all children 3-21 years of age by September 1, 1980.

The intent of P.L. 94-142 is to assist the States to defray the excess costs of educating the handicapped. Excess costs are defined as those costs in excess of the amount normally spent on regular educational programs in the States.

Program Scope:

In Fiscal Year 1976, 57 noncompetitive continuation awards for State grant programs were funded. Approximately 750,000 children participated in programs that were partially supported by EHA-B funds, amounting to 2% of the total expenditures at the Federal, State, local and private levels. This number includes children receiving limited services such as screening, diagnosis and prescription. National estimates suggest that 56 percent of school-aged handicapped children are receiving special education. In some States, however, less than 25 percent are receiving special education. Other services supported by this grant money include: 1) child diagnostic and evaluation services; 2) program administration and teacher training; and 3) direct services. Program data indicates that direct services received the largest appropriation ($136,000,000) distributed as follows:

Service Categories	Percent of Total Funds
1) Trainable mentally retarded	14%

Service Categories (cont.)	Percent of Total Funds
2) Educable mentally retarded	35%
3) Learning disabled	7%
4) Emotionally disturbed	9%
5) Other health impaired	3%
6) Physically impaired	3%
7) Visually impaired	3%
8) Deaf	4%
9) Hearing impaired	4%
10) Speech impaired	18%

Program Effectiveness and Progress:

A formal evaluation of the State grant program conducted by Exotech Systems, Inc. in 1972 examined the impact of this program at the State and local level. To obtain impact data at the LEA level both grantee and nongrantee special education projects were evaluated. The primary goal for these funds was for them to be used as seed money for increasing the level of State and local support for the education of the handicapped. The study concluded that the failure of EHA-B to produce this intended multiplier effect could be attributed to the fact that EHA-B is a nonmatching, nondecreasing Federal program without a predetermined expiration date. Additionally, EHA-B projects experienced an inability to obtain State or local funds for special education. The lack of such funds precipitated service cutbacks. The study also concluded that the secondary program goal of initiating, expanding, and replication of programs for handicapped children was partially achieved.

EHA-B funds assisted SEA's in program planning and coordinating activities among school districts. The funds also allowed most States to increase the level of financial support to special education programs. The study indicated that State strategies were generally not consistent with BEH guidelines concerning the use of EHA-B funds for innovative programs, however, they were not in conflict with the legislative intent to initiate, expand or improve programs to meet the special education and related needs of handicapped children. Innovation, replication, and evaluation is not considered a priority among SEA personnel.

The grantee LEA's varied significantly in terms of the nature and scope of services provided the handicapped. School districts in large metropolitan areas expanded special education and related services for the handicapped and received the largest share of the Federal revenue.

In rural or remote LEA's, EHA-B funds assisted in establishing programs to diagnose and service the previously unserved and the low prevalence handicapping conditions as well as to increase community awareness of the special needs for the handicapped. Programs established for the first time in a geographical area were not innovative or replicative of established projects.

The outstanding difference between grantee and nongrantee special education projects was the amount of Federal, State and local support each received. Nongrantee programs received a significantly higher share of State and local funds than did grantee projects.

Another problem identified by the study is that the EHA-B per capita formula did not take into account the marked differences among State and local governments in their ability to pay for programs for handicapped children. The formula did not correct the existing situation whereby a handicapped person's chance of receiving appropriate services depends largely on the geographical area of residence.

It is the opinion of the Office of Planning, Budget and Evaluation that the new formula grant as specified in P.L. 94-142 does not build into it sufficient safeguards to overcome the shortcomings of those in 93-380, EHA-B.

Ongoing and Planned Evaluation Studies:

None

Sources of Evaluation Data:

1. Bureau of the Education of the Handicapped program information.
2. Evaluation of an Aid-to-States Program for Education of Handicapped Children, by Exotech Systems, Inc.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name

Regional Resource Centers

Legislation

P.L. 91-230, Title VI, Part C-
Centers and Services to Meet
Special Needs of the Handicapped,
Sec. 621

Expiration Date

September 30, 1977

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1966		
	1967		
	1968	$ 7,750,000	
	1969	$ 7,750,000	$ 5,000,000
	1970	10,000,000	3,000,000
	1971*		3,550,000
	1972*		3,550,000
	1973*		7,243,000
	1974*		7,243,000
	1975	12,500,000	7,087,000
	1976	18,000,000	10,000,000
	1977	19,000,000**	9,750,000

Program Goals and Objectives

As indicated in budget documents, the Regional Resource Centers Program was established in order to encourage the development and application of exemplary appraisal and educational programming practices for handicapped children. The centers are given the responsibility of developing a national support system in order that State and local agencies may provide needed diagnostic and prescriptive services without the assistance of the Regional Centers. To accomplish the goals and objectives of this program, the Centers use demonstration, dissemination, training, financial assistance, staff expertise and direct services. The Centers also act as backup agents where State and local agencies have inadequate or nonexistent service programs. Among major activities of the Centers are:

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* Totals of $36,500,000 in 1971, $51,500,000 in 1972, and $66,500,000 in 1973 were authorized for Part C, EHA, which includes early childhood projects, regional resource centers, and deaf-blind centers. The 1973 authorization was extended through 1974 by virture of the one-year extension contained in GEPA.

** Total authorized for section 621 is $19,000,000; other funds requested under section 621 are $3,250,000 for Severely handicapped projects.

1. Identification of unserved handicapped children;
2. Measurement and diagnosis of handicapped children for the purpose of proper educational placement;
3. Development of educational and vocational programs for handicapped children;
4. Provision of technical assistance to relevant personnel, including teachers and parents, in implementing appropriate services for the handicapped learner;
5. Periodic re-examination, re-prescription or case-tracking to validate appropriateness of program placement for children.

Program Operations

In order to meet the program goals and objectives, grants and contracts are awarded to institutions of higher education, State educational agencies, or combinations of such agencies or institutions. Within particular regions of the United States, grants or contracts may be awarded to one or more local educational agencies. Projects are approved for periods of 36 months. However awards are made annually, and renewed on the basis of a Center's effectiveness and the availability of funds. Initial awards are made on a competitive basis. The awards are made to pay for all or part of the costs of the establishment and operations of the Regional Centers.

Program Scope

The funds allotted to individual Regional Resource Centers ranged from $354,465 to $1,236,613 , with the total funding for all Centers equaling $10,000,000 in FY 1976. There were 13 Regional Resource Centers and a Coordinating Office. The Coordinating Office provides technical assistance to the Regional Centers. Of the 13 Centers, 7 (seven) are multi-state and the remaining 6 (six) are single state. Multi-state centers serve from 4 (four) to 10 (ten) states. Population density is the prime criterion for determining regional location.

Program Effectiveness

The primary limitations on meeting the stated objectives of this program are: (1) the unavailability of validated best practices of diagnostic procedures, (2) insufficient funds available to State and local educational agencies to develop and implement effective diagnostic, assessment, evaluation and re-evaluation programs and (3) trained diagnosticians and diagnostic teams available in sufficient numbers or with sufficient resources to fully implement the requirements of P.L. 93-380.

Program information indicates that approximately 80,000 handicapped children have received services through this program. Of this number, it is estimated that 2,629 children have received services directly from the Centers since no other providers of services for these children existed. These Centers (1) conducted screening and identification for 1,089 referred children; (2) conducted diagnostic testing for educational appraisal of 2,629 children; (3) developed educational programs for 1,408 referred children, and (4) conducted on-site follow-up evaluations of individual program effectiveness for 3,425 children. Additionally, these Centers provided expert advice and technical assistance to State and local officials, teachers and parents; and provided technical assistance in the development of 30 comprehensive state plans for special education. Approximately 100 state-level personnel received information on exemplary case-finding and identification systems. In addition the Centers: (1) developed 61 experimental programs for appraisal and programming; (2) conducted 105 separate workshops for SEA personnel in appraisal and educational programming techniques; and (3) conducted 163 demonstrations of state-of-the-art appraisal and educational programming techniques at the LEA level.

Ongoing and Planning Evaluation Studies

None

Source of Evaluation Data

Bureau of the Education for the Handicapped programmatic data.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Deaf Blind Centers

Legislation:	Expiration Date:
P.L. 91-230, Title VI, Part C Centers and Services to Meet Special Needs of the Handicapped, Section 622	September 30, 1977

Funding History	Year	Authorization	Appropriation
	1968	$ 3,000,000	
	1969	3,000,000	$ 1,000,000
	1970	7,000,000	4,000,000
	1971*		4,500,000
	1972*		7,500,000
	1973*		10,000,000
	1974*		14,055,000
	1975	15,000,000	12,000,000
	1976	20,000,000	16,000,000
	1977	20,000,000	16,000,000

Program Goals and Objectives:

According to the statute, the purpose of this program is to provide, through a limited number of model centers for deaf-blind children, a program designed to assist these children in reaching their full potential for communication, to enable such children to participate in society, and to reach self fulfillment. This is accomplished by working with these children as early in life as feasible, bringing to bear those specialized, intensive professional and allied services, methods and aids that are found to be effective for this purpose.

Program Operation:

Grants or contracts are made with public or nonprofit private agencies, organizations, or institutions to pay for all or part of the cost of establishing residential facilities and for the operation of centers for deaf-blind children. The determination whether or not to make a grant or contract for this purpose is based on the availability of existing services and the assurance that a center can provide:

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*Totals of $36,500,000 in 1971, $51,500,000 in 1972, and $66,500,000 in 1973 were authorized for Part C, EHA, which includes early childhood projects, regional resource centers, and deaf-blind centers. The 1973 authorization was extended through 1974 by virtue of the one-year extension contained in GEPA.

1. comprehensive diagnostic and evaluative services for deaf-blind children;
2. a program for the adjustment, orientation, and education of deaf-blind children which integrates all the professional and allied services necessary for these children;
3. effective consultative services to parents, teachers, and others who play a role in the education of these children.

These services may be provided to deaf-blind children (and where applicable, to other persons) whether or not they reside in the center, may take place at locations other than the center, and may include transportation of children, attendants, and/or parents.

Program Scope:

It has been estimated that approximately 50% of the funding for deaf-blind programs come from State and local government. In FY '75 there were 10 Centers serving deaf-blind children. Of these 10 centers only one is a single State Center with an allocation of $633,968. The largest allocation, $1,925,000, is for the Center serving New York, New Jersey, Pennsylvania, Delaware, Puerto Rico and the Virgin Islands. The services are rendered through the Centers and through 250 subcontractors, and include full-time educational services, part-time counseling, inservice training for personnel and parents, and other supportative services.

According to program data, of the estimated 5,000 to 7,000 deaf-blind children, 5,052 have been identified. Of the identified children, 1,369 are receiving no full-time or part-time education services. An additional 300 deaf-blind children now receiving part-time educational services are in need of full-time educational programs. Average per pupil cost for full-time educational programs is $3,759 and 3,216 children are receiving full-time education programs. Part-time per pupil costs average approximately $1,000. The average per pupil cost for all educational services is $2,427.

Program Effectiveness and Progress:

Information provided by the program suggests that the major drawback in reaching the program's goals is the acute shortage of trained teacher and teacher-aide personnel. It is estimated that an additional 500 to 600 teachers are needed to meet the needs of the known population of deaf-blind children, whereas current training programs are producing 40 to 50 qualified teachers yearly. Another limiting factor is the inadequacy of facilities; though facilities are available, many need to be modified or renovated to benefit these children. The program staff indicates that an additional deterrent toward program success is the lack of availability of instructional materials and technology.

Program monitoring information indicates that the Centers have been successful in terms of reaching increasing numbers of deaf-blind children.

In FY 76 the program served a total of 4,521 children. Of those served, 3,216 received full-time educational services; 467 others were served on a part-time basis; and 838 new children received diagnostic and evaluative services.

The 4,521 children served in FY 76 compares favorably with 4,170 in FY 75 and represents a substantial increase over FY 69 when 100 children were served by six centers.

Despite this evidence of growth, considerable regional variation exists in amount and quality of service provided. The Bureau is currently reviewing the centers in preparation for establishing basic minimum standards of service for the entire program.

Ongoing and Planned Evaluation Studies:

A contract has been let to Abt Associates, Inc., Cambridge, Massachusetts for the purpose of assessing the resources available for severely handicapped children. The study will evaluate adequacy of services for a national sample of 100 projects for institutions which provide services to deaf-blind, severely mentally retarded, severely emotionally disturbed, and multiple handicapped children and youth. The study should be completed in FY 77.

Source of Evaluation Data:

Bureau of the Education of the Handicapped Operational Data

Assessment of Available Resources for Services to Severely Handicapped Children, Abt Associates, Inc. (estimated completion date: December 1976)

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Early Childhood Education

Legislation:

P.L. 91-230, Title VI, Part C—
Centers and Services to Meet
Special Needs of the Handicapped,
Section 623

Expiration Date:

September 30, 1977

Funding History	Year	Authorization	Appropriation
	1969	$ 1,000,000	$ 945,000
	1970	10,000,000	4,000,000
	1971*		7,000,000
	1972*		7,500,000
	1973*		12,000,000
	1974*		12,000,000
	1975	25,500,000	14,000,000
	1976	36,000,000	22,000,000
	1977	38,000,000	22,000,000

Program Goals and Objectives:

According to budget documents and statute, this program was designed to build the capacity of State and local educational agencies and to provide comprehensive services for handicapped preschool children (birth through 8 years of age). The program supports demonstration and outreach projects in an attempt to accomplish this purpose. The Federal strategy is to work cooperatively with States, through public and private non-profit agencies, to demonstrate a wide range of educational, therapeutic services, and coordinated social services in order to help establish competent State and local programs incorporating the best of demonstrated early educational practices for handicapped youth.

The outreach projects have the objective of assisting other agencies or programs in providing effective programming for young handicapped children. This is accomplished by helping these agencies replicate the project model or major components of it; providing resource assistance to programs wishing to provide components of it; providing resource assistance to programs wishing to provide services to handicapped children; and by training personnel of other agencies or programs.

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*Totals of $36,500,000 in 1971, $51,500,000 in 1972, and $66,500,000 in 1973, were authorized for Part C, EHA, which includes early childhood projects, regional resource centers, and deaf-blind centers. The 1973 authorization was extended through 1974 by virtue of the one-year extension contained in GEPA.

Program Operations:

This program authorized under Part C, Section 623 of the Education of the Handicapped Act provides grants and contracts annually on the basis of national competition; each model demonstration is approved for a three year period, but receives second and third year funding on the basis of successful performance and availability of funds. Projects which have successfully completed the demonstration phase; i.e., proven their success and secured assurance that the basic project will be continued from State, local, private or other funds, become eligible to apply for outreach funding. Each of the demonstration models developed under this program has the responsibility of including the following components:

a) developing and demonstrating services for young children with handicaps; procedures for assessment of child progress and program evaluation;

b) meeting the needs of parents and family members for counseling and emotional support, information, opportunity for observation, practice, home carry-over and involvement in project planning and evaluation;

c) provision of inservice training to increase volunteer, paraprofessional and professional staff effectiveness;

d) coordination with other agencies, especially the public school; and

e) dissemination of information to professionals and to the general public concerning comprehensive programming for young children with handicaps.

Program Scope:

According to program data, approximately 1,000,000 pre-school children (0-8 years of age) have handicapping conditions. Approximately 30% of these children are being served in varying degrees through demonstration and outreach projects, Head Start and day care programs, public education day programs and through State supported activities.

In FY 76 projects funded were: 38 new and 69 continuing demonstration model projects with total obligations equalling $13,455,000; 26 new and 39 continuing outreach projects with obligations of $5,835,000; 1 new technical assistance project with an obligation of $540,000; 15 new state implementation projects with funding equal to $1,500,000; and four severely handicapped projects with funding of $670,000. In total 192 projects were supported via this program.

Program Effectiveness and Progress:

Program information, based on FY 1973 project reports indicates the following measures of effectiveness:

657 children graduated to other programs which previously would not accept them;

513 children were placed in special education classes;

886 children progressed sufficiently to be approved for enrollment in regular kindergarten or day care programs;

The implications of these data are that the program has been effective in increasing services provided to young handicapped children.

FY'75 program data of the direct impact through the demonstration and outreach activities are as follows:

Children receiving direct services through demonstration projects	9,936
Parents served through project activities	17,907
Personnel trained to work with the handicapped child	39,023
Number of children served in projects developed as a result of HCEEP assistance	33,394
Number of replicated projects/components	899

A formal evaluation of Section 623 was conducted by Battelle Columbus Laboratories from September 1973 to June 1976. Analyses indicated a positive program impact in the personal-social, adaptive, cognitive, and communications growth areas (with the greatest impact on "Personal-Social development). Of all handicap groups, educable mentally retarded appeared to show the greatest overall gain, as did children with longer treatment periods. For all handicap groups, there was no significant impact in Motor development.

Projects that had medium child-staff ratios (i.e., 4.8 to 6.8:1), that were home-based (as contrasted with center-based) and that had developed and used their own curriculum materials appeared to have the greatest impact on handicapped children.

A follow-up was conducted to determine where graduates of HCEEP projects were placed. About two-thirds of the graduates were placed in regular school classes and regular school classes with ancillary special education services; three-quarters of the graduates followed-up were placed in public schools.

Ongoing and Planned Evaluation Studies:

None

Sources of Evaluation Data:

Bureau of Education for the Handicapped programmatic data Evaluation of the Handicapped Children's Early Education Program. Battelle Memorial Institute, completed: June 1976

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Severely Handicapped Projects

Legislation:

Funds were requested in 1976 under Part C, Section 621; however, the authority used to operate these projects is derived from P.L. 91-230, Section 624. Funding for Section 624 projects may originate in any Section of Part C which has specific authorizations. Prior to 1976, funds from various sources supported these projects.

Expiration Date:

September 30, 1977

Funding History	Year	Authorization	Appropriation
	1974	1/	$ 2,247,000
	1975	2/	2,826,000
	1976	3/	3,250,000
	1977	4/	5,000,000

Program Goals and Objectives:

According to budget documents the primary goal of this program is to establish and promote programmatic practices designed to meet the educational and training needs of severely handicapped children. The ultimate goal in the education and training of the handicapped is to enable these children to become as self-sufficient as possible; reducing their need for institutional care and increasing their opportunities for self-development.

The Federal strategy is to eventually cover all states or sparsely populated multi-State regions with demonstrations appropriate to State-wide needs.

1/ Funds in 1974 derived from Part C, Section 621 (Regional Resource Centers), Section 623 (Early Childhood Projects) and Part F (Media Services and Captioned Films). Total authorization for Part C in 1974 was $66,500,000; for Part F, $20,000,000.

2/ Funds in 1975 derived from Part C, Section 621 (Regional Resource Centers) and Section 623 (Early Childhood Projects). Total authorization for both Sections is $38,000,000.

3/ Funds in 1976 derived from Part C, Section 621 (Regional Resource Centers). Authorization was $18,000,000 for that Section in 1976.

4/ Funds in 1977 derived from Part C, Section o21 (Regional Resource Centers). Authorization was 19,000,000 for that Section in 1977.

Program Operations:

In order to accomplish the objectives of this program, contracts are awarded competitively on a one-year basis, with continuation funding for a second and third year based upon project's effectiveness, replicability, and availability of funds. Eligible contractees are State departments of special education, intermediate or local education agencies, institutions of higher education, and other public or non-profit private agencies.

Program Scope and Effectiveness:

Program data indicates that approximately 366,200 severely handicapped children are receiving some services from Federal, State and private sources. Program staff estimate that there are 1,404,948 severely handicapped children (ages 0 - 19) in the Nation. Of these children, 465,000 are severely or profoundly mentally retarded; and 905,000 are seriously emotionally disturbed (autistic and schizophrenic) and 34,948 have multiple handicaps.

Comparative statistics prepared by OE indicate that the total number of severely handicapped children needing specialized services has remained constant over the past six years. The least severely handicapped are gradually being integrated into less restrictive service environments but past decreases have been offset by increased identification of severely handicapped children who do require specialized services.

In FY 76, 24 projects were funded; 11 were new awards and 13 were non-competitive continuation awards. All of the original 10 states which had OE - funded projects in 1974, the first year of this programs operation, are supporting projects which replicate OE-developed models or which have developed new models for demonstration. In this fiscal year, approximately 1,244 children participated in demonstration projects.

Ongoing and Planned Evaluation Studies:

None

Source of Evaluation Data:

Bureau of the Education of the Handicapped program information.

Program Name:

Regional Vocational, Adult, and Postsecondary Programs

Legislation:

P.L. 91-230, Title VI, Part C,
as amended by P.L. 93-380 -- Regional
Education Programs, Section 625

Expiration Date:

December 30, 1977

Funding History	Year	Authorization	Appropriation
	1975	$ 1,000,000	$ 575,000
	1976	Indefinite	2,000,000
	1977	Indefinite	2,000,000

Program Goals and Objectives:

The legislation defines the goal of this program as providing vocational, technical, postsecondary, and adult educational opportunities for deaf and other handicapped persons. This program is directed to: 1) career education and the supportive services relative to career placement, and 2) teaching of skills necessary for successful and rewarding functioning in daily life. Programs include, but are not limited to, preparation for job placement in the white collar, skilled and unskilled occupational categories.

Program Operations:

Grants or contracts may be awarded to institutions of higher education, including junior and community colleges, vocational and technical institutions, and other appropriate nonprofit educational agencies. These grants and contracts are awarded for the development and operation of specially designed or modified programs of vocational, technical, postsecondary, or adult education for deaf or other handicapped persons. Priority consideration is given to:

1) programs serving multi-State regions or large population centers;

2) programs adapting existing programs of vocational, technical, post-secondary, or adult education to the special needs of handicapped persons; and

3) programs designed to serve areas where a need for such services is clearly demonstrated.

Program Scope and Effectiveness:

In FY 76 a total of 13 programs were funded, 10 of which were new awards. The level of funding for the programs was determined by the nature and level of services provided and the types of handicapping conditions addressed. The total number of handicapped persons served this fiscal year was 2,654 of which 800 were mentally retarded, and 786 were deaf or hard of hearing.

The types of services provided to students included tutoring, counseling, recreational activities, notetaking, interpreting, wheelchair/personnel attending and adapting instructional media.

Since this program is so new, no data on its effectiveness and/or progress is yet available.

Ongoing and Planned Evaluation:

None

Source of Evaluation Data:

Bureau of Education for the Handicapped programmatic information.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Special Education Manpower Development

Legislation:

P.L. 91-230, Title VI, Part D
Training Personnel for the Education
of the Handicapped, Sections 631, 632, 634

Expiration Date:

September 30, 1977

Funding History	Year	Authorization	Appropriation
	1966	$ 19,500,000	$ 19,500,000
	1967	29,500,000	24,500,000
	1968	34,000,000	24,500,000
	1969	37,500,000	29,000,000
	1970	57,000,000	35,610,000
	1971*		32,600,000
	1972*		34,645,000
	1973*		39,660,000
	1974*		39,615,000
	1975	45,000,000	37,700,000
	1976	52,000,000	40,375,000
	1977	50,000,000	45,375,000

Program Goals and Objectives:

According to budget documents the objective of this program is to ensure an adequate supply of educational personnel competent to deal with the special educational problems of the handicapped. This program provides financial assistance for the training of teachers, supervisors, administrators, researchers, teacher educators, speech correctionists, and other special services personnel such as specialists in physical education and recreation, music therapy, and paraprofessionals. Persons trained under this program come from a variety of professional backgrounds and training is not limited to persons with a background in education.

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*A total of $69,500,000 in 1971, $87,000,000 in 1972, and $103,500,000 in 1973 was authorized for Parts D, EHA. The 1973 authorization was extended through 1974 by virtue of the one-year extension contained in GEPA.

Program Operations:

In order to accomplish the objectives of this program, the program awards grants to institutions of higher education, State education agencies, and other appropriate nonprofit agencies. Grantees are placed under a block grant system. The block grant system allows greater flexibility in the use of Federal funds than was possible under the previous system of allocating fixed support grants to a fixed stipend level. Thus the new system allows for funding allocations based on various priorities of differential needs such as: stipends, faculty salaries, or curriculum development. All awards are made on a 12-month basis and the program is forwarded funded with the minimum award being $1,000 and the average award approximately $70,000.

Program Scope:

FY 76 (covering academic year 1975-1976) assistance was provided to approximately 8,030 pre-service students, 13,710 in-service students and 11,543 regular classroom teachers through 723 projects.

Through these 723 projects the following activities were initiated or continued:

1) attention focused on the educational personnel needs of severely handicapped children;
2) training of minority group specialists to serve the educational needs of minority group handicapped children;
3) early childhood training;
4) paraprofessional training;
5) training of regular classroom teachers to meet the needs of handicapped children in regular classroom situations.

Program Effectiveness and Progress:

Program staff estimates that in order for the educational system to meet its full service need commitment of 500,000 teachers, an additional 260,000 specially trained teachers are needed.

A formal evaluation of the Manpower Development Program was conducted during 1971-72. The data suggested that Title VI-D support was an important factor in attracting and/or retaining about one-third of the student grantees in special education. For the remaining grantees, the financial support tended to facilitate a commitment which had already been made; i.e., it enabled them to receive their degrees sooner, or to obtain certification in "specialty areas". There was no significant difference in the retention rates of special education teachers who had received VI-D grants as students and those who had received other forms of support; i.e., other Federal, State or university grants, stipends, etc.

The data also indicated that recipients of Title VI-D grants were not distributed among specialty areas in proportion to need estimates. Students tended to be overrepresented in the field of sensory disorders and underrepresented in the field of learning disorders. Students were also unevenly distributed with regard to race and sex: they tended to be predominantly white(96%) and female (78%), with males clustering at the higher levels of graduate study.

The evaluation study recommended a heavier investment in SEA programs to retain regular classroom teachers and those special education teachers needing certification. Strategies for improving the distribution of students along dimensions of race, sex and specialty area were also recommended.

Ongoing and Planned Evaluation Studies:

None planned for at this time.

Source of Evaluation Data:

An Evaluation of Federal Programs to Increase the Pool of Special Education Teachers; RMC Research Corporation (1973).

Bureau of Education for the Handicapped program information

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name

Recruitment and Information

Legislation	Expiration Date
P.L. 91-230, Title VI, Part D-Training Personnel for the Education of the Handicapped, Sec. 633	September 30, 1977

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1966		
	1967		
	1968	$ 1,000,000	
	1969	1,000,000	$ 250,000
	1970	1,000,000	475,000
	1971*		500,000
	1972*		500,000
	1973*		664,000
	1974*		500,000
	1975	500,000	500,000
	1976	500,000	500,000
	1977	1,000,000	1,000, 000

Program Goals and Objectives

According to the statute, this program was designed to encourage people to enter the field of special education, to disseminate information and provide referral services for parents of handicapped children, and to assist them in their attempts to locate appropriate diagnostic and educational programs for their children.

Program Operation

This program operates by providing non-matching grants or contracts to public or nonprofit private agencies, organizations, or institutions with the requirement that such funds be used for:

1) encouraging students and professional personnel to work in various fields of education of handicapped children and youth through developing and distribu-

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* A total of $69,500,000 in 1971, $87,000,000 in 1972, and $103,500,000 in 1973, was authorized for Part D, EHA. The 1973 authorization was extended through 1974 by virtue of the one-year extension contained in GEPA.

ting imaginative materials to assist in recruiting personnel for such careers, and by publicizing existing forms of financial aid which might enable students to pursue such careers, or

2) disseminating information about the programs, services, and resources for the education of handicapped children, or providing referral services to parents, teachers, and other persons especially interested in the handicapped.

Program Scope and Effectiveness

In FY 1974 funds continued 12 referral centers operating through Health and Welfare Councils, designed to assist parents and other persons in obtaining the most appropriate services for handicapped children. Additionally, regional television and radio campaigns were undertaken in concert with other Department of Health, Education and Welfare activities concerning the handicapped, in a concerted effort to coordinate information systems and to aid regional and State programs in attracting the quality and quantity of teachers required. In FY '74 referral services operated in approximately 100 cities.

In FY '75 approximately 25 referral centers existed (the main center is located in Massachusetts) which disseminates informational services throughout the country. Activities include: 1) providing program information to approximately 50,000 new parents through Closer Look ads and mailing from the Special Education Information Center (SEIC). This newsletter reaches about $200,000 parents on a continous basis; 2) establishment of a regional replication in the Southwest, which included medical, mental health, social and educational referral and information services; 3) conducted a showing on both commercial and public stations of a TV program designed to increase public awareness; and 4) continued to target recruitment information to increase the number of special and regular educators with a particular understanding of the needs of minority and bilingual handicapped children.

In FY 76 three projects were funded. These were: 1) Federation for Children with Special Needs which is a pilot project with one year funding for giving grants to local information units; 2) Information Clearinghouse, and; 3) Media Outreach Campaign.

Ongoing and Planned Evaluation Studies

None

Sources of Evaluation Data

Bureau of Education for the Handicapped programmatic information.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Innovation and Development

Legislation:

P.L. 91-230, Title VI, Part E-
Research in the Education of the
Handicapped, Section 641 and Section 642

Expiration Date:

September 30, 1977

Funding History	Year	Authorization	Appropriation
	1965	$ 2,000,000	$ 2,000,000
	1966	6,000,000	6,000,000
	1967	9,000,000	8,000,000
	1968	12,000,000	11,100,000
	1969	14,000,000	12,800,000
	1970	18,000,000	13,360,000
	1971	27,000,000	15,300,000
	1972	35,500,000	15,755,000
	1973*	45,000,000	9,916,000
	1974*		9,916,000
	1975*	15,000,000	9,341,000
	1976*	20,000,000	11,000,000
	1977	20,000,000	11,000,000

Program Goals and Objectives:

According to budget documents the innovation and development activities attempt to improve the effectiveness and efficiency of the educational system and its provisions for handicapped children by: supporting the development and validation of new service models, by packaging that information in usable form, and by systematically assuring that this information is placed in appropriate hands.

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*In April, 1975, litigation was settled which resulted in the release of $12,550,000 appropriated under the 1973 continuing resolution. Of these funds $3,035,897 is being used in the Innovation and Development program during the FY 76, increasing obligations over 1976 appropriations by that amount. All activities with FY 73/76 monies will be of a one year nature and will not be extended beyond FY 76. The 1973 authorization was extended through 1974 by virtue of the one-year extension contained in the General Educational Provisions Act.

Program Operations:

This program addresses the improvement of educational opportunities for handicapped children through support of decision-oriented research and related activities. Support includes grants or contracts for research, surveys, or demonstrations, relating to education of handicapped children. Additionally, grants are made for similar activities relating to physical education or recreation for handicapped children. Activities are integrated in a planned pattern to support teacher training and the special service functions of the total Federal program for handicapped children.

Grants and/or contracts are made to State or local educational agencies, institutions of higher education and other public or private educational or research agencies and organizations. These are awarded on the basis of a National competition. Projects are approved for periods ranging from 1 to 5 years; but awards are generally made for one year, with continued funding based on quality performance and availability of appropriations.

Program Scope and Effectiveness:

In FY 76,146 projects were supported; of these, 95 were new efforts and 51 were continuations of projects begun in previous years. These projects supported the following types of program activities: programs for orthopedically and otherwise health impaired children, programs for learning disabled children, hearing impaired children, programs for the mentally retarded; programs for speech impaired, visually impaired, and other programs classified as non-categorical. The largest expenditure was allocated to non-categorical programs. Slightly more than half of the total funds available were used to support research activities and the remainder used to support demonstration and development efforts.

New awards in FY 1976 were distributed as follows: $2,035,897 for Early Childhood activities. $7,100,000 for Full School activities, $1,100,000 for Career Education $2,200,000 for Severely Handicapped programs, $1,200,000 for Personnel Development, $400,000 for Child Advocacy programs.

In the past the Innovation and Development program has been criticized for its lack of clearly defined program goals and objectives, and its selection of particular research projects for funding. However, several changes were implemented in FY 74 in order to improve the effectiveness of this program. Research funds not previously committed for continuation awards were targeted on specific projects solicited by RFP's and specific grant announcements. Projects were selected systematically to reassess and to fill gaps in the knowledge base. The new targeted program reflected a reassessment and prioritizing of research issues based on the advice of professionals and constituent groups obtained through conferences and panel meetings.

Ongoing and Planned Evaluation:

None

Source of Evaluation Data:

Bureau of the Education of the Handicapped program data

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Media Services and Captioned Films

Legislation:

P.L. 91-230, Title VI, Part F-
Instructional Media for the
Handicapped, Section 652 and 653; as
amended by P.L. 93-380, Section 620

Expiration Date:

September 30, 1977

Funding History	Year	Authorization	Appropriation
	1966		$ 2,800,000
	1967	$ 3,000,000	2,800,000
	1968	8,000,000	2,800,000
	1969	8,000,000	4,750,000
	1970	10,000,000	6,500,000
	1971	12,500,000	6,000,000
	1972	15,000,000	6,000,000
	1973	20,000,000	13,000,000
	1974	20,000,000	13,000,000
	1975	18,000,000	13,250,000
	1976	22,000,000	16,250,000 1/
	1977	22,000,000	19,000,000

Program Goals and Objectives:

As indicated in the statute and budget documents, the purpose of this program is to help provide the handicapped learner with special educational materials. This includes producing and distributing educational media for the use of handicapped persons, their parents, their actual and potential employers, and other persons directly involved in work for the advancement of the handicapped; training persons in the use of educational media for the instruction of the handicapped. This latter purpose is being advanced through the operation of a National Center of Media and Materials for the Handicapped, (NCEmMH) and a system of special centers called Area Learning Resource Centers (ALRC's) which focus on demonstration and technical assistance to the States to assist them in utilizing media and materials for the handicapped. An equally important aspect of the program is to promote the general cultural and educational welfare of deaf persons by captioning and distributing

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1/ In April, 1975, litigation was settled which resulted in the release of $12,500,000 appropriated under the 1973 Continuing Resolution. Of these funds, $1,012,332 was used in the Media Services and Captioned Films program during fiscal year 1976, increasing obligations over 1976 by that amount.

motion picture films and other media. The purpose of this program in both cases is to provide maximum access to learning experiences for handicapped children through the development and demonstration of the best available practices and the efficient management of materials and human resources.

Program Operations:

To accomplish the MSCF program objectives, a loan service has been established for captioned films for the deaf and related educational media for the handicapped. Educational materials are made available in the United States for nonprofit purposes to handicapped persons, parents of handicapped persons, and other persons directly involved in activities for the advancement of the handicapped. Activities permissable for this purpose include: the acquisition of films and other educational media for purchase, lease or gift; acquisition by lease or purchase equipment necessary for the administration of the above. Contracts are provided for the captioning of films and for the distribution of films and other educational media and equipment through State schools for the handicapped and other appropriate agencies which serve as local or regional centers for such distribution. Additionally, grants or contracts provide for research in the use and production of educational and training media. Provisions are made for the distribution of the materials, for utilizing the services and facilities of other governmental agencies and for accepting gifts, contributions, and voluntary and uncompensated services of individuals and organizations. Projects are approved for period of up to 36 months, but awards are made annually, with renewals funded on the basis of a project's effectiveness, the replicability of its elements and availability of appropriations.

Program Scope and Effectiveness:

In FY'76 the national system provided materials and techniques for educating handicapped children through 13 Area Learning Resource Centers; six of which serve individual states while the remaining seven serve up to ten states. Additionally, there are four special offices, the National Center on Educational Media and Materials for the Handicapped (NCEMMH), and over 800 State and local "associated centers", an increase of over 500 from FY 75, established with the assistance of the national system. In addition, captioned films and television news distributed to deaf adults and to schools and classes for the deaf reached an audience of approximately 6,000,000 people. During this fiscal year the following types of activities were supported under this program.

1) Captioned films for the deaf

2) Captioned TV & telecommunications

3) Area Learning Resource Centers

4) National Center on Educational Media & Materials

5) National Theatre of the Deaf

6) Marketing and implementation activities

Program data on the impact of ALRC system indicate that several system functions had overlapped among the various individual centers (e.g., computer retrieval of materials). Furthermore, these centers did not always have clearly defined spheres of responsibility apart from the Regional Resource Centers which were funded under Title VI-Part C. To make more efficient use of the total system resources, and to centralize the several system functions which had previously overlapped, Congress authorized, under Section 653, EHA, OE to establish a national center on Educational Media and Materials for the Handicapped.

With regard to the film distribution services, OE has obtained limited cost-effectiveness data. They indicate that the search for new and more economical measures of film delivery has lowered the cost per viewer, and more efficient distribution methods have expanded the average showing per print per year. Plans are underway to supply training films and other educational media on a no-cost basis to teachers of all handicapped children.

Ongoing and Planned Evaluation:

None

Source of Evaluation Data:

Bureau of the Education of the Handicapped program data

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Specific Learning Disabilities

Legislation:

P.L. 91-230, Title VI, Part G-
Special Program for Children With
Specific Learning Disabilities

Expiration Date:

September 30, 1977

Funding History	Year	Authorization	Appropriation
	1966		
	1967		
	1968		
	1969		
	1970	$ 12,000,000	- 0 -
	1971	20,000,000	$1,000,000
	1972	31,000,000	2,250,000
	1973	31,000,000	2,750,000
	1974*		3,250,000
	1975	10,000,000	3,250,000
	1976	20,000,000[1]	5,000,000
	1977	20,000,000	9,000,000

Program Goals and Objectives:

According to statute this program was designed to stimulate State and local provision of comprehensive identification, diagnostic, prescriptive and educational services for all children with specific learning disabilities. This program supports model programs and supportive technical assistance, research, and training activities. It also provides for early screening programs to identify these children; for dissemination of information about the learning disabilities programs; and for replication of model programs or program components.

Recognition of this discrete type of handicap has been relatively recent and Federal activities are designed to help define the nature of the disorders, to stimulate adoption of early screening procedures, identify treatment approaches and to stimulate an increased supply of teachers trained to the problems of the affected population.

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*The 1973 authorization was extended through 1974 by virture of the one-year extension contained in the General Education Provisions Act.

[1] In April 1975, litigation was settled which resulted in the release of $12,500,000 appropriated under the 1973 Continuing Resolution. Of these funds, $500,000 was used in Specific Learning Disabilities program during fiscal year 1976, increasing obligations over the 1976 appropriation by that amount.

Program Operations:

In order to implement this program, which is forward funded, grants and contracts are awarded annually through national competition and are made to institutions of higher education, State and local educational agencies, and other public and private educational research agencies and organizations (grants can be made only to nonprofit agencies or organizations).

To qualify for a grant or contract an offeror must focus his efforts in one or more of the following areas:

1) research and related purposes relating to the education of children with specific learning disabilities; and/or

2) professional or advanced training for educational personnel who are teaching, or preparing to teach, children with these learning disorders; or such training for individuals who are, or are preparing to be, supervisors and teachers of such personnel; and/or

3) development and operation of model centers for the improvement of education of specific learning disabled individuals; Centers are required to screen and identify learning disabled children and provide diagnosis and evaluation; develop and conduct model programs, assist appropriate educational agencies, organizations, and institutions in making such programs available to other children with specific learning disorders; evaluate and disseminate new methods and techniques to other agencies/organizations.

Program Scope and Effectiveness:

In FY 76, a total of 41 projects were funded; of these 25 were new awards and 16 were noncompetitive continuation awards. This program served 9,850 children, an increase slightly greater than 1,000 above the number of children served the previous fiscal year. Approximately 3,800 parents were provided with materials, information and referrals, and 2,500 parents were provided with counseling services.

Population data based on 1974-1975 State plans indicate that:

1) 1,966,000 children were estimated to have learning disorders;

2) 235,000 children receive special instructional services and;

3) 1,731,000 (88% of the estimated target population) receive no services.

Ongoing and Planned Evaluation Studies:

A contract to evaluate this program was awarded to American Institute for Research, December, 1975 and is scheduled to be completed December 31, 1976.

Source of Evaluation Data:

Bureau of Education for the Handicapped program data.

I. EVALUATION OF PROGRAMS FOR CAREER, OCCUPATIONAL, AND ADULT EDUCATION

I. Evaluation of Programs for Career, Occupational, and Adult Education

The common purpose of these programs is to bridge the gap between education and work by enabling individuals to learn about a wide range of occupations, to make a rational selection of a career area, to prepare for employment in a specific occupation, and to be employed. The newest of these programs, Career Education, provides a new way of looking at education from kindergarten through post-secondary schooling. Initial emphasis has been on building a broad understanding of different types of work at the elementary level and later developing decision-making skills to utilize this knowledge along with a knowledge of self in choosing an occupation. Vocational education picks up at the secondary level and concentrates on more specific knowledge and training needed for selected occupations. Attention is also being given to vocational training at the post-secondary level. Adult education, under existing legislation, concentrates primarily on those who are unable to be employed at higher skill levels because of a lack of basic language and computational skills as represented by completion of the 8th grade or by a high-school diploma. Increasing attention in the education of adults is being given to the concept of "functional competency" as represented by the tasks an adult must perform to cope adequately in our society. The introduction of legislation on "Lifelong Learning" will probably result in a further expansion of activity in adult education.

Programs in the career-occupational-adult category are of two basic types: (1) Federal programs which allocate funds to States on a formula basis with the States making decisions on the use of such funds, and (2) Commissioner's discretionary programs in which allocations of funds are made through competitive awards of grants or contracts. In general, studies of the non-discretionary programs show them to be responsible for growth in vocational education enrollments but these programs are no more or less effective in terms of educational achievement than other curricula. A study of school-supervised work education programs shows that cooperative education programs, as intended, do provide students with work experience in jobs related to their occupational training programs. Work study programs meet their basic objective, which is to keep students in school by providing them with financial assistance. The study does indicate the need for improved management of the programs. The GAO report on Vocational Education and most USOE studies report problems with Federal, State and local management and the need for additional planning and management capability. The Education Amendments of 1976 address many of the management issues surfaced in the GAO report, the study of vocational programs for handicapped students and other USOE studies.

Among the discretionary programs, an evaluation of one, Vocational Education Exemplary Projects (Part D, VEA), was reported last year and a second program, that in Career Education, was surveyed this year. The Vocational Exemplary Projects were used as the basis of a GAO Report on Career Education which recommended that greater attention be given to:

-- Analyzing problems in career education implementation at the junior and senior high levels so that appropriate actions can be taken to improve program effectiveness.

-- Emphasizing to projects the need to orient and train teachers in the implementation of career education.

-- Increasing efforts to include career education in teacher training programs at the college level.

-- Increasing efforts to develop appropriate measures of the impact of career education.

-- Improving evaluations of career education projects so they may be used to assess project results and to provide a basis for making project improvements and so they may be used by local education agencies in considering career education alternatives. Improvements needed include (1) establishing measurable program goals and objectives for career education, (2) requiring projects to establish goals and objectives consistent with those of the overall program, and (3) requiring projects to adequately plan for evaluation, including the collection of baseline student performance and cost data. (GAO Report: "Career Education," dated January 26, 1976.)

The report on "Career Education in the Public Schools, 1974-75: A National Survey" was completed and forwarded to the Congress in May 1976. This study, which was mandated by Public Law 93-380, showed that interest in career education was wide-spread in the United States but that broad implementation had just begun. Although 52 percent of the nation's students were in districts where at least one of 15 major career education learning activities was broadly implemented, only a fifth (21%) were in districts where over half of the 15 activities were well established. Since the Public Law which mandated this survey was the same one which authorized OE's Career Education program, the Congress presumably intended the results of the survey to provide a starting point for future measures of the results of Federal funding. Here, also, the introduction of new legislation on State planning will result in expanding concepts and activities in career education.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Vocational Education - Program for Students with Special Needs

Legislation:	Expiration Date:
Vocational Education Act of 1963 as amended 1968, Part A, Section 102 (b) and amended by Public Law 94-482	September 30, 1982

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1969	$ 40,000,000	-0-
	1970	40,000,000	$ 20,000,000
	1971	50,000,000	20,000,000
	1972	60,000,000	20,000,000
	1973	60,000,000	20,000,000
	1974	60,000,000	20,000,000
	1975	60,000,000	20,000,000
	1976	60,000,000	20,000,000
	1977	30,000,000	20,000,000 1/

Program Goals and Objectives:

Under Section 102(b) of Part A of the Vocational Education Act, as amended in 1968, funds are provided to assist the States in providing support for programs and services for persons (other than handicapped persons) who have academic, socioeconomic, or other handicaps that prevent them from succeeding in the regular vocational education program. Funds shall be allocated within the State to areas of high concentration of youth unemployment and school dropouts. Services and programs may also be provided to eligible students in nonprofit private schools.

Program Operation:

Grants are allocated to the States by formula, with no matching required, to assist in providing support for programs and services for persons who are unable to succeed in regular vocational programs because of poor academic background, lack of motivation, and/or depressing environmental factors. Programs are concentrated within the States in communities where there is high incidence of youth unemployment and high school dropouts. Special services and programs are provided these youth and adults to encourage them to stay in school to acquire the academic and occupational skills needed for successful employment or to continue to pursue their career preparation.

Special services include specially trained teachers in remedial and bilingual specialties, staff aides, additional counseling services, facilities accessible to a high concentration of these students, and instructional materials and equipment best suited to their needs

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1/ Appropriated for school year 1977-7

and abilities.

Some of the areas where these funds have been expended are those where English is a second language, rural depressed communities, low-cost housing developments in the inner city, correctional institutions, and off-reservation locations with a predominance of American Indians.

Program Scope:

States reported 161,633 students received services and/or programs funded by this authority.

Program Effectiveness and Progress:

State reports do not describe the kinds of services available, the effectiveness of such services in improving student retention and completion in occupational training programs or other impact data.

The target population for this program is the same as that of the Part B setaside for disadvantaged students; however, some States use this money for populations they ordinarily do not serve such as those in correctional programs and school dropouts.

Ongoing and Planned Evaluation Studies:

The "Assessment of Vocational Education Students for Disadvantaged Students" described under Part B of this report includes the Special Needs program funded under this authority as within the scope of work.

Sources of Evaluation Data:

Annual State Vocational Education Reports

State Advisory Committee Reports

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Vocational Education - Basic Grants to States

Legislation	**Expiration Date**
Vocational Education Act of 1963 as amended, 1968, Part B and amended by P.L. 94-482	None

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION*
	1965	$156,641,000	$156,446,000
	1966	209,741,000	209,741,000
	1967	252,491,000	248,216,000
	1968	252,491,000	249,300,000
	1969	314,500,000	248,316,000
	1970	503,500,000	300,336,000
	1971	602,500,000	315,302,000
	1972	602,500,000	376,682,000
	1973	504,000,000	376,682,000
	1974	504,000,000	405,347,000
	1975	504,000,000	420,978,000
	1976	504,000,000	415,529,100
	1977	450,000,000	441382,275 1/

Program Goals and Objectives

Existing legislation authorizes Federal grants to States to assist them to maintain, extend and improve existing programs of vocational education, to develop new programs of vocational education, and to provide part-time employment for youths who need the earnings from such employment to continue their vocational training on a full-time basis, so that persons of all ages in communities of the State will have ready access to vocational training or retraining which is of high quality.

For the first time vocational education funds have been appropriated on an advance basis. This will enable States and local school officials to plan more efficiently and effectively by knowing in advance of the school year what Federal assistance will be available.

Consolidations and increased State accountability are mandated in the Education Amendments of 1976, to become effective in fiscal year 1978.

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* This does not include the permanent authorization of $7.1 million apportioned to the States each year under the Smith-Hughes Act.

1/ Appropriated for school year 1977-78.

Program Operation

Formula grants are made to the States to assist them in conducting vocational education programs for persons of all ages with the objective of insuring that vocational education and training programs are available to all individuals who desire and need such education and training for gainful employment. States are required to set aside 15 percent for vocational education for the disadvantaged; 15 percent for post-secondary programs; and 10 percent for vocational education for the handicapped. Funds may be used for the construction of area vocational education facilities. States are required to match one dollar for every Federal dollar.

Under the provisions of P.L. 93-318, the definition of vocational and technical education was expanded to include industrial arts education and the training of volunteer firemen.

Program Scope

In FY 1975, the States reported that 11,894,936 students were enrolled in vocational education classes funded by Part B and State and local matching funds. Of these, 6,761,629 were secondary students; 1,834,691, postsecondary, and 3,298,616 were adult.

Enrollments of disadvantaged and handicapped students were as follows:

Disadvantaged:

Secondary:	1,230,646
Postsecondary:	171,040
Adult:	340,340
Total:	1,742,026

Handicapped:

Secondary:	201,168
Postsecondary:	81,911
Adult:	29,985
Total:	263,064

Program data at the Federal level are generally limited to enrollment and expenditure data from required State plans and annual reports submitted by State education agencies. They are often incomplete. GAO program monitoring and evaluation studies document the difficulties of the data. There is no established procedure for the development of response material for specific data requirements which are not included in the basic reporting system. Data are being collected by NCES through studies such as "Survey of Vocational Education Student and Teacher Characteristics in Public School, 1972."

For the first time in several years, States reported total enrollments for all programs by race or ethnic origin during FY 1975. Although nine States and territories did not report student characteristics, the data provides trend information.

	Total	Secondary	Postsecondary	Adult
American Indian or Alaska Native	97,896	60,330	13,811	23,756
Black, not of Hispanic origin	1,874,031	1,232,704	202,840	438,478
Asian or Pacific Islander	138,052	77,722	26,189	34,141
Hispanic	702,243	377,072	121,880	203,291
White, not Hispanic	9,612,765	5,262,946	1,408,745	2,941,074

Program Effectiveness and Progress

Studies of the effect of participation in vocational education programs have thus far presented inconsistent results. Some studies show increases in earnings and the ability to obtain a job, others do not; some show increased educational achievement, while others show no difference; most studies show vocational students to have a positive opinion regarding the programs they experience. The evidence so far developed is as follows:

Preliminary Analysis of the Follow-up of the Class of 1972

Preliminary data prepared by NCES from the Longitudinal Study of the Class of 1972 18 months after graduation provides insights on what happens to vocational students.

Sixty-two percent of those who had been in a vocational-technical program in high school indicated that the specialized training they had received in high school prepared them for immediate employment upon graduation.

Of those who had received specialized training, 63 percent of the vocational students had worked in jobs where they expected to use this training. The corresponding figures for those who had been in academic or general programs were 60 and 53 percent, respectively. Perhaps a better indicator of ability to obtain jobs in areas of specialized training is given by excluding from the analysis persons who never looked for work in the area of their specialized training. When these persons are excluded, the resulting rates of success in obtaining jobs in areas of specialized high school training are about 80 percent for those who had taken vocational or academic programs and 77 percent for those who had taken general programs. Among the vocational areas, the business and office category had the highest success rate (81 percent); the home economics area, the lowest (62 percent).

Those persons who said they had worked in a job where they expected to use their specialized high school training were asked 12 questions related to satisfaction with this training. Those who had been in vocational high school programs tended to have slightly more favorable opinions about their training than those who had been in academic or generalized programs. For example, among the vocational students, 87 percent answered that they considered their training a wise choice, as opposed to about 80 percent of the academic and general students. Only 29 percent of the vocational students replied affirmatively that they could have gotten their job without their training, where as the percentages were 34 and 37 for academic and general students, respectively.

An Assessment of Vocational Education Programs for Handicapped Students

The study reviewed the operation and administration of the Part B setaside for handicapped students in 25 States, selected randomly with a probability proportionate to total enrollments in the 50 States. A total of 92 projects were visited for the project level assessment. A total of 1,000 student and parent interviews was conducted in five of the sample States, 681 with students currently enrolled and 320 with students who had completed projects. A sample of participating and nonparticipating employers were interviewed.

Findings indicate that Part B setasides have resulted in projects which would have never occurred had there been no such legislation. About 93 percent of the funds were used to provide direct services to students. Cost and outcome data were seriously deficient at both the state and local levels. However, according to what data was available, including results of the student, parent and employer interviews, the program appeared to be working well. Costs per student and completer were not excessive and placement rates ranged from 48 to 60 percent for completers. About 33 percent reenrolled in school, and only about 15 percent of the completers were unemployed.

There is little long-term planning at the State or local level. Planning was limited to review of project proposals and decisions as to which proposals would be funded, generally on the basis of the sizes of school districts and other formulas. Factors which mitigated against planning at the state level were the independence of the local education agencies and the fact that only one person was assigned at the State level to administer the setaside program.

At the project level, few examples of individualized instruction were found, except to the extent that "hands on" vocational training was practice. Although most local administrators indicated that it was the school district policy to integrate the handicapped with regular students, about 70% of the students enrolled were in "special" classes. A constraint to "mainstreaming" as well as the lack of experience in dealing with these populations appeared to be a problem as well as the fact that schools were often not sure how to mainstream students and retain separate files for auditors and reporting systems. States in Region V appeared to be further along in integrating classes.

One of the most often mentioned constraints limiting the expansion of vocational education programs for the handicapped was the reluctance of teachers in regular classes to accept the handicapped, or the inability of teachers to instruct handicapped students.

Two-thirds of the training provided under the setaside programs was nonskills training, that is, training not intended to prepare students to complete in the open labor market in any given skill, craft or trade.

Half of the students enrolled in this type of training were in prevocational training. Others were enrolled in diagnostic centers, mobility training, nongainful home economics, industrial arts, tutoring and sheltered workshop programs. About 12% were trainables. Of those enrolled in skills training, the vast majority were in trade and industrial courses, mainly for men. The range of occupational offerings for women was extremely narrow, being confined mainly to home economics (much of which was not gainful), and health occupatons.

In half of the projects included in the project sample, at least some students were referred into work experience programs. Most of the work stations were unskilled work activities and were intended mainly to provide students with "work experience."

Only a few projects received a thorough assessment of the educational needs of the handicapped students referred to the program.

The case study interviews indicated that both students and parents expressed extremely favorable attitudes toward the projects in which they or their children were enrolled.

Participating employers expressed favorable attitudes toward the program. Three out of four pariticpating employers rated the performance of handicapped students and/or completer "as good" or "better than" regular workers in each of the eight performance scales.

Unlike participating employers, nonparticipating employers expressed the belief that it would be necessary to effect radical changes in their working environments if they were to hire the handicapped.

What is the Role of Federal Assistance for Vocational Education? Report to Congress by the Comptroller General of the United States:

Although expanded vocational opportunities have been made available for the disadvantaged and handicapped, persons with special needs have not been given high priority, the GAO report says. The report further maintains that vocational education programs are not responsive to changes in the labor market, have shown bias against women and do not provide adequate occupational guidance and job placement assistance. The report is based on a review of programs in seven States.

The report maintains that these States have distributed funds in a variety of ways, many of which do not necessarily result in funds being targeted to geographical areas of need, or providing for the programmatic initiatives called for by law. Some major practices noted were: making funds available to all local education agencies within a State, rather than concentrating funds in selected areas with high needs; making funds available to local agencies without adequately identifying the relative need for the program; and making funds available without considering ability of local agencies to provide their own resources.

Greater attention to systematic, coordinated planning at the national, State and local levels would improve the use of Federal funds, the report suggests. State and local plans reflect compliance rather than planning. Data that would be helpful to planning is unavailable, inadequate or unutilized, the report continues.

Practical Career Guidance, Counseling, and Placement for the Non-College-Bound Student:

This study reviewed data concerned with the practical career guidance and counseling for noncollege-bound students. The report's findings indicate that women, minority, and disadvantaged students have not obtained sufficient occupational information and assistance in relating their abilities and interests to career options. Furthermore, the overall conclusion drawn was that the guidance and counseling personnel resources generally have not been aligned to provide practical career guidance for noncollege-bound students despite national priorities and allocations of funds. Recognizing the need for realignment of the counseling services for the non-college-bound, the report recommends that 1) guidance and counseling experts provide more specific information and 2) realignment be based on a planning model that includes assessment of the priority of target groups, selection of appropriate strategies, and evaluation of efforts.

Vocational Education Impact Study:

Findings from the Vocational Impact Study, completed in 1972, provides detailed analyses of data from recent studies of vocational students.

Vocational educators have traditionally measured the success of some programs in terms of completions and placement; these data pertain to a very limited indication of program outcomes, limited because earnings and duration of employment were not recorded. Any desired outcomes not associated with employment are particularly hard to measure. Other factors, including how a graduate values leisure, job status and job security would be considered as part of the occupational regard.

During recent years, some studies have examined costs and benefits of vocational training. Because of the inherent difficulties and high costs involved, most were case studies; a few were large scale and national in scope. The latter were primarily longitudinal studies which did not include cost components.

A Comparative Study of Proprietary and Non-Proprietary Vocational Training Program:

A study of 51 proprietary and 14 non-proprietary schools in four cities examined student outcomes in four occupational areas; office, health, computer and technical occupations. About 7,000 students and 5,200 alumni were queried.

Findings indicate that 78 percent of the graduates sought training related jobs and three-quarters of these persons found training-related jobs. However, less than 20% of the proprietary alumni and only 13% of the non-proprietary alumni obtained jobs through school placement service, a surprising result especially for proprietary schools, since virtually all offer placement assistance. Most graduates indicated satisfaction with their current job status. Of those alumni currently employed, about 34% of the proprietary and 12% of the non-proprietary group felt that the training was definitely not worth the money.

Cost benefit measures indicate that the investment in vocational training was worthwhile for all occupational groups except the **computer** trainees in proprietary schools. Non-proprietary school graduates have an advantage over proprietary school graduates in cost-benefit measures and in salary gain comparing before training to the first job in training. However, non-proprietary alumni overall earned less before training than proprietary graduates. Proprietary and non-proprietary schools differ substantially in their operations and program offerings; however, the student enrolled in both types of schools are very similar in terms of background and motivational characteristics. Most are young, high school graduates enrolled in full-time programs with a goal of obtaining full-time jobs. A sizeable proportion of the students (30% proprietary and, 42% non-proprietary) belong to minority ethnic groups. Accredited schools and chain schools surveyed are no more effective in placing graduates than non-accredited and non-chain schools. Cities surveyed include: Chicago, Illinois, Atlanta, Georgia; San Francisco, California; and Rochester, New York.

Planned and Ongoing Studies:

Analysis of the First-Year Follow-Up Data of the National Longitudinal Study of the High School Class of 1972:

This study will examine the educational and occupational decisions made by vocational education students, during the period between the Base Year and First-Year Follow-Up Data Collections. The study will examine career and employment patterns in the year immediately following the completion of their secondary education and the factors which affect the career patterns of these youth.

Several analyses will be performed to explain the causal relationship, if any, between their career decisions and hereditary and environmental variables (race, sex, school location, SES, etc.) These analyses will be compared with data for both academic and general curriculum students to determine the differential effects or impacts of the different educational experiences.

An Assessment of the Vocational Education Programs for Disadvantaged Students:

This study will provide information about the planning, administration and evaluation of programs for the disadvantaged and special target populations at the State level. Administrative and organizational designs of vocational programs serving these students at the school or project level will also be reviewed. The study will examine the extent to which work experience components are present in programs for these populations, the quality of the work stations, and the necessary conditions under which expansion is possible.

An Assessment of Utilization of Vocational Education Act Funds for Facility Construction:

This study will involve a comprehensive national survey of the planning practices and requirements of State and local vocational education agencies as they apply to the planning of vocational facilities and the use of construction funds under the Vocational Education Act. The major objectives are: (1) to identify State and local planning practices which appear to result in the most effective facility-construction programs and the most cost-effective use of Federal funds; (2) to determine whether provisions of current Federal legislation should be changed or expanded to provide State and local agencies with greater latitude in making efficient use of Federal school facility monies; and (3) to prepare a documentation of the capacity of existing vocational education programs provided by the public education system, to serve as a basis for projecting future demand for facilities and needs for Federal funds to support facility construction and equipment acquisition.

Sources of Evaluation Data:

An Assessment of Vocational Education Programs for the Handicapped Under Part B of the 1968 Amendments to the Vocational Education Act. Olympus Research Corporation, October 1974.

A Vocational Re-Evaluation of the Base Year Survey of the High School Class of 1972, (Part I: Selected Characteristics of the Class of 1972). Educational Testing Service, October 1974.

National Longitudinal Study of the High School Class of 1972. Educational Testing Service, June 1973. (Study under auspices of NCES)

Major City Secondary Education Systems: Class of 1970 Follow-up Survey of Vocational Program Graduates. Educational Systems Research Institute, December 1972.

Practical Career Guidance, Counseling and Placement for the Noncollege-Bound Students. American Institutes for Research, June 1973.

The Vocational Impact Study: Policy Issues and Analytical Problems in Evaluating Vocational Education; A Study of the State Grant Mechanism; and A Study of Duplication, Gaps, and Coordination of Publicly Funded Skill Training Programs in 20 Cities. National Planning Association, October 1972.

A Comparative Study of Proprietary and Non-Proprietary Vocational Training Programs. American Institutes for Research, November 1972.

National Longitudinal Surveys. Survey of Work Experience of Males, 14-24, 1966, and Survey of Work Experience of Young Men, 1968, Center for Human Resources Research, Ohio State University, and U.S. Department of Commerce Bureau of Census, 1966 and 1968, often referred to as the Parnes Study.

A Cost Effectiveness of Vocational and Technical Education. Center for Vocational and Technical Education, University of Wisconsin, 1971.

Trends in Vocational Education, USOE, June 1970.

Annual State Vocational Education, Reports

Reports from State Advisory Committees

Reports from the National Advisory Committee

What is the Role of Federal Assistance for Vocational Education? Report to Congress by the Comptroller General of the United States. December 31, 1974.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Vocational Education-Research and Training

Legislation: | **Expiration Date:**

Vocational Education Act of 1963
as amended 1968, Part C; 1976, and amended
by P.L. 94-482

None

Funding History:	Year	Authorization	Appropriation
	1965	$ 11,850,000	$ 11,850,000
	1966	17,750,000	17,750,000
	1967	22,500,000	10,000,000
	1968	22,500,000	13,550,000
	1969	35,500,000	11,550,000
	1970	56,000,000	1,100,000
	1971	67,500,000	35,750,000
	1972	67,500,000	18,000,000
	1973	67,500,000	18,000,000
	1974	67,500,000	18,000,000
	1975	67,500,000	18,000,000
	1976	67,500,000	18,000,000
	1977	67,500,000	18,000,000*

Program Goals and Objectives:

The legislation specifies two sets of purposes; those for the funds administered by State Boards of Vocational Education and for those administered by the Commissioner. The Part C funds administered by the State Boards are to be used for research; for training programs to familiarize personnel with research results and products; for developmental, experimental, or pilot programs designed to meet the special vocational needs of youth; especially the disadvantaged; for demonstration and dissemination projects; and for establishing and operating State Research Coordinating Units (RCU's).

The funds administered by the Commissioner are to be used for somewhat similar purposes: research, training programs to familiarize vocational educators with research projects and successful demonstration projects; projects designed to test the effectiveness of research findings; demonstration and dissemination projects; development of a research base for new curricula; and identification, development and evaluation of training programs for new careers and occupations.

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* Includes $4,452,975 for Transition Quarter

For FY 76 the program supported work in four priority areas on which the Commissioner's portion of Part C funds were focused. These areas are: (1) Adult Vocational Education, (2) Post-Secondary Vocational Education, (3) Individualization and modularization of existing instructional materials, and (4) Special needs populations.

Program Operations:

Half of the appropriated funds are allocated to the States on a formula basis. The State Boards utilize these funds, in accordance with their State Plans, to award grants and contracts to institutions of higher education, local education agencies, and other public or private agencies and institutions. In addition, the States may pay for up to 75% of the costs of State RCU's. The remaining 50% of the appropriation is utilized by the Commissioner for grants and contracts. Awards are usually made on a competitive basis to the same types of institutions and agencies as listed above.

Program Scope:

During FY 76 and the Transition Quarter, 124 projects were funded with the Commissioner's funds. In addition, State funds supported approximately 400 grants in the following areas: career education, problems of disadvantaged students, cost-effectiveness and cost-benefits of programs and services, improvement of State and local administration of vocational education, program and system evaluation, new and emerging occupational areas, vocational guidance, follow-up studies of graduates, and employment needs of specific communities. The RCUs administered the States' vocational research programs and disseminated research findings to administrators, teachers and counselors, and teacher educators. Many RCU's now operate extensive information retrieval and dissemination systems linked to and based on the ERIC system. Other RCU functions include: coordinating Statewide and local evaluation studies, assisting in State planning efforts, and coordinating State-administered Exemplary Projects under Part D of the Vocational Education Act.

This program has received the same level of funding for the five years ending in FY 76. Because of this, the scope of program effort has remained the same with only minor fluctuations in the numbers of projects funded by the Commissioner and by the State Boards.

Ongoing and Planned Evaluation Studies:

The Office of Education has supported the National Academy of Science in making a comprehensive study of the planning, management, and impact of the Federal vocational education research programs since their inception in 1965. This study has been completed and has provided a number of recommendations which have implication for legislation and program management. Copies of the report became available late in 1976 from the NAS Publications Office.

Source of Evaluation Data:

Bureau of Occupational and Adult Education program information.

Assessing Vocational Education Research and Development. National Academy of Sciences. Washington, D.C. October 1976.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Vocational Education -- Exemplary Programs

Legislation:

Vocational Education Act of 1963,
Part D, as amended 1968; and amended
by P.L. 94-482

Expiration Date:

September 30, 1977

Funding History:	Year	Authorization	Appropriation
	1969	$ 15,000,000	$ -0-
	1970	57,500,000	13,000,000
	1971	75,000,000	16,000,000
	1972	75,000,000	16,000,000
	1973	75,000,000	16,000,000
	1974	75,000,000	16,000,000
	1975	75,000,000	16,000,000
	1976	75,000,000	16,000,000
	1977	20,000,000	16,000,000*

Program Goals and Objectives:

The legislative intent for this program is to reduce the continuing high level of youth unemployment. The Act further specifies program purpose as that of stimulating new ways of creating bridges between school and employment for young people, who: (a) are still in school, (b) have left school either by graduation or by dropping out, or (c) are in postsecondary programs of vocational preparation. Additional purposes are the promotion of cooperation between public education and manpower agencies and the broadening of occupational aspirations and opportunities for young people, especially those who have academic, socio-economic, or other handicaps.

Program regulations, policy papers, and guidelines have further defined this program so that the Federally-administered, discretionary projects have been major contributors to the National thrust in career education. The career education techniques and instructional materials emerging from the first three-year cycle of Part D discretionary projects provide input to the design and development of the National Institute of Education's School-Based Career Education Model. In addition, these Part D projects serve as demonstration sites within each State, and are to provide operational examples of career education functioning in local settings.

In a number of States, such as Florida, Georgia, Illinois, Kansas, Oregon, and Texas, a systematic, Statewide plan has already been formulated for the development and diffusion of career education. These plans provide for coordination through the State Research Coordination Unit (RCU), which is supported under Part C of the Vocational Education Act. These Statewide plans generally use the discretionary Part D project as a focal point for career education model-building. The plan then involves diffusion of tested career-education components to other school districts throughout the State, utilizing State-administered Part D and Part C funds as well as funds from other sources (such as the Appalachian Regional Commission) to assist school districts in adapting and implementing the career education programs.

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* Includes $2,000,000 for Transition Quarter

Program Operations:

Fifty percent of the appropriation is reserved by the U.S. Commissioner of Education for discretionary grants or contracts to support projects carried out in the States. The remaining 50 percent is allocated to the State Boards for Vocational Education for use in the same manner. Funds reserved by the Commissioner are available until expended and funds allotted to State Boards are available for two fiscal years.

The Federally-administered discretionary projects are distributed geographically across the States, as required by law, with at least one project in operation in each State. The typical project is funded at a level of about $130,000 per year for a three-year period, with the exact amount determined by formula. Funds appropriated in Fiscal Years 1970, 1971, and 1972 supported the first three-year cycle of projects, most of which began in the Spring of 1970 and ended in the Spring of 1973. The third major three-year cycle began in 1976 and will end with 1978 funding.

Program Scope:

Federally-administered, FY 1976 funds were used to continue 4 projects into their third year of operation, 11 projects into their second year, and to initiate 45 new projects. In recognition of the passage of legislation and an appropriation specifically for a comprehensive OE career education program, the 1975 and 1976 Federally-administered Part D Program initiatives were designed to focus on the secondary and post-secondary levels where it was felt that prior Part D projects had achieved limited impact. Among the projects funded in 1976 were 30 designed to replicate the Experience-Based Career Education Program developed by N.I.E., 7 designed to implement programs of occupational clusters, and 8 designed to expand and improve cooperative vocational education programs.

State-administered FY 1976 funds were used to initiate or continue about 400 projects. While statistical information is not available, it can be estimated that about 50 percent of the projects were once again focused on career education.

Program Effectiveness and Progress:

An evaluation of the projects funded in the first three-year cycle was completed in FY 75. The basic rationale of the study was that an evaluation of first-cycle projects would lead to improved implementation of the program during subsequent years and would help local districts to replicate successful activities. Since the Part D effort was closely associated with early efforts in career education, it was also expected that the information obtained would assist in further defining and operationalizing this concept. The findings of this study indicated that the program had not had the desired impact. In general, the negative findings were attributed to a lack of clearly-defined objectives, definitions, managerial requirements, and procedures at both the Federal and local levels. To correct these problems, a number of steps have been initiated by program managers. These include a redefinition of criteria for selection of new grantees, increased monitoring of project activities, and the development of an evaluation guide to help project directors (grantees) assess their own activities.

Results of third-party evaluations of each project are reported annually to local project directors who were asked to use the Handbook for the Evaluation of Career Education programs to improve their evaluations beginning in 1974. Annual interim reports now being received by the U.S. Office of Education reflect an improvement in evaluation quality over the reports received in previous years.

Ongoing and Planned Evaluation Studies:

None.

Sources of Evaluation Data:

An Evaluation of Vocational Exemplary Projects, Washington, D.C., Development Associates, Inc., 1975.

Management Evaluation Review for Compliance (MERC) reports on Vocational Education state-grant programs prepared by the OE Division of Vocational and Technical Education in conjunction with U.S.O.E. Regional Offices.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Vocational Education - Consumer and Homemaking Education

Legislation:	**Expiration Date:**
Vocational Education Act of 1963, as amended in 1968, Part F, Consumer and Homemaking Education; and amended by P.L. 94-482	September 30, 1982

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1968		
	1969		
	1970	$ 25,000,000	$ 15,000,000
	1971	35,000,000	21,250,000
	1972	50,000,000	25,625,000
	1973	50,000,000	25,625,000
	1974	50,000,000	30,994,000
	1975	50,000,000	35,994,000
	1976	50,000,000	40,994,000
	1977	45,000,000	40,994,000 1/

Program Goals and Objectives:

The Vocational Education Act of 1963 and Part F of the Vocational Education Amendments of 1968 provide formula grants to States for programs and services in Consumer and Homemaking Education. The allotments to States are to be expended solely for:

> (1) education programs which (a) encourage home economics to give greater consideration to social and cultural conditions and needs, especially in economically depressed areas, (b) encourage preparation for professional leadership, (c) are designed to prepare youths and adults for the role of homemaker, or to contribute to the employability of such youths and adults in the dual role of homemaker, and wage earner, (d) include consumer education programs and promotion of nutritional knowledge and food use and the understanding of the economic aspects of food use and purchase, (e) are designed for persons who have entered, or are preparing to enter, the work of the home, and (2) ancillary services, activities and other means of assuring quality in all homemaking education programs, such as teacher training and supervision, curriculum development, research, program evaluation, special demonstration and experimental programs, development of instructional materials, provision

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1/ Appropriation for school year 1977-78.

of equipment, and State administration and leadership.

Program Operation:

States reported that 3,283,857 students participated in programs funded under Part F for Consumer and Homemaking during FY 1975. Of these 1,093,650 were in depressed areas. About 2,562,306 were in secondary schools; 25,970 were in postsecondary; and 695,581 were adults.

Under formula grants, the States must use at least one-third of the Federal funds allocated for programs in economically depressed areas and in areas with high rates of unemployment where matching is 90 percent Federal and 10 percent State and/or local. States report that they use about 50 percent of their Federal funds for programs in these target areas.

Program Effectiveness and Progress:

States report expansion of programs and increased programming for consumer education, nutrition education, parenthood education, child development and growth of enrollments in depressed areas. However, no objective evidence of effectiveness of this program is available.

Ongoing and Planned Studies:

None

Sources of Evaluation Data:

Annual State Vocational Education Reports

Descriptive reports submitted by State Departments of Education, State Supervisors of Home Economics Education

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name

Vocational Education - Cooperative Vocational Education Programs

Legislation

VEA of 1963, as amended 1968, Part G, as amended by P.L. 94-482

Expiration Date

September 30, 1977 1/

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1968		
	1969	$20,000,000	-0-
	1970	35,000,000	$14,000,000
	1971	50,000,000	18,500,000
	1972	75,000,000	19,500,000
	1973	75,000,000	19,500,000
	1974	75,000,000	19,500,000
	1975	75,000,000	19,500,000
	1976	75,000,000	19,500,000
	1977	25,000,000	19,500,000 2/

Program Goals and Objectives

The 1968 Amendments to the Vocational Education Act provide funds, under Part G, to assist States in expanding cooperative work-study programs by providing financial assistance for personnel to coordinate such programs, to provide instruction related to the work experience; to reimburse employers when necessary for certain added costs incurred in providing on-the-job training through work experience; to pay costs for services such as transportation of students or other unusual costs that the individual students may not reasonably be expected to assume while pursuing a cooperative program.

Program Operations

Formula grants are made to the States to support cooperative education programs which involve arrangement between schools and employers, enabling students to receive vocational instruction in the school and related on-the-job training through part-time employment. Priority is given to areas where there is high incidence of student dropouts and youth unemployment. Students must be at least 14 years old and are paid by the employer either a minimum wage or a student-learner rate established by the Department of Labor. Federal funds may be used for all or part of a States expenditure for programs authorized and approved under State Plan provisions.

1/ States may continue to fund cooperative programs under Basic State grants, but P.L. 94-482 does not extend authority for the categorical setaside.

2/ Appropriated for school year 1977-78.

Part G, cooperative vocational education programs, have extended the range of occupations for which training can be offered, to such areas as marketing and distribution, business and office, trade and industrial, and health occupations. In addition, there was an emphasis on developing cooperative education programs for small communities which cut across several occupational fields in one program setting. Students could prepare for specific areas of gainful employment which were not available previously because of insufficient enrollment or lack of facilities to support specialized vocational programs. Most of the new programs were developed in areas with high rates of school dropouts and youth unemployment.

Program Scope

During FY 1975, States reported 152,981 students as enrolled in cooperative programs under Part G. Of these, an estimated 120,396 were secondary students and 32,585 were postsecondary students. In addition, States fund cooperative education programs under Part B basic grant authority. For example, States reported that 581,071 students were enrolled in cooperative programs during FY 1975.

Program Effectiveness and Progress

Cooperative Education programs do, as intended, provide students with work experience in jobs which are related to their occupational training programs. They also appear to give students some advantage over those who did not participate in work experience programs at the time of the first job after graduation in terms of earnings. It is, however, difficult to evaluate the impact of such programs because of the self-selection factor, i.e., students who enter such programs are usually oriented to acquisition of job skills rather than monetary gain or academic achievement. Part II of the Assessment of School-Supervised Work Education Programs completed during the summer of 1976 had two major purposes: (1) to assess the effectiveness of cooperative education programs located in urban areas, and (2) to determine the post-program experiences of both participants and nonparticipants interviewed in Part I of the study.

The follow-up study consisted of re-interviews with 803 participants in work education programs and a cohort group of 701 nonparticipants who were first interviewed in 1973 during Part I of the study. The Part I participants were enrolled in three types of work programs: (1) specific (or the equivalent of cooperative education programs); (2) dropout prevention (such as work study); and (3) career exploration.

As can be expected, postsecondary students did significantly better than secondary students in terms of earnings and job satisfaction. Both groups experienced about the same amount of employment stability, based on the average number of weeks worked over the 52 weeks prior to the second interview.

Students participating in secondary programs were more likely to be working if they were males. At the postsecondary level there was no difference found in the percentage of males and females holding jobs.

Postsecondary students who were members of minority groups reported current jobs more often than nonminorities; the opposite was true at the secondary level.

Within all programs, men earned more per week on the average than women. Both participating and nonparticipating students were stratified by program type, general occupation classification (both current and school job), and finally by sex. The findings reveal that men start with an earnings advantage while still in their training programs, regardless of general areas of occupational experience.

In all comparisons involving weekly earnings, the great impact of participation in work education programs appeared to be on the postsecondary programs. Whites and Blacks and men and women who participated in such programs out-earned comparison group cohorts in all cases.

The trends identified in the follow-up study were validated for those responding to the National Longitudinal Followup of the Class of 1972. Specifically, males earned more than females and whites earned more than blacks.

To measure satisfaction with jobs currently held, those interviewed were asked a series of questions focusing on satisfaction with pay and fringe benefits, working conditions, challenge and opportunities. Measures of job satisfaction with current jobs suggest the following: Participating students in postsecondary specific occupations programs expressed more positive attitudes toward their jobs than their nonparticipating counterparts. The least satisfied group on the basis of the average of their job satisfaction was those who participated in secondary dropout prevention programs. Whites and blacks did not differ significantly in their expressed levels of job satisfaction. Men and women also expressed about similar levels of satisfaction with their current jobs across educational levels and types of programs.

An examination of 30 urban cooperative programs indicate that high percentages of minorities participate in work education programs which differ from the traditional cooperative programs in which class work is closely related to the student jobs. In urban areas, most programs identified students received classroom instruction in general occupational areas and were placed in a variety of different jobs within occupational clusters. Others were enrolled in diversified programs in which students received world-of-work training in the classroom and were placed in a variety of jobs, not necessarily related to their majors in school or within any specific occupational cluster. While some diversified programs appeared to be income maintenance programs, the better ones provided opportunities for career exploration.

Outcomes for the diversified programs were lower than those for traditional cooperative programs. For example, completion rates were lower, fewer of the students interviewed said that their jobs were related to career interests, fewer students were likely to recommend the program to friends. However, more students with low grades are looking for full-time jobs than those with A and B grades.

Although many of the diversified programs are not as well developed as the more traditional cooperative education programs, there is general concensus that they can be strengthened with further inservice training programs for the coordinators to improve their management. Diversified programs often provide service jobs, but the better programs provide jobs in business or industrial concerns such as advertising, areospace and banking in which disadvantaged students might not ordinarily seek jobs.

The "Assessment of School-Supervised Work Education Programs, Part I", completed, examined the different configurations of work education programs to determine the degree to which different types of programs are meeting their intended objectives and to suggest ways in which different programs might be modified or expanded. A stratified random sample of 50 work education sites was drawn from 500 representative programs using three variables as the basis for the stratification. The 50 were distributed as follows on the basis of those variables determined as most relevant:

Education level: Secondary (36), postsecondary (14)

Primary purpose: Specific occupational training (30*), dropout prevention (14), career exploration (6)

Industrial setting: Farming region (15), bedroom community (11), single industry area (9), major industrial/business career (15)

According to the study findings from Part I, cooperative education programs appear to be generating the most enthusiam among students, employers, and school officials because they meet the expressed needs and objectives of all groups. Students feel that cooperative education programs are providing them with valuable job training. Employers feel that they are getting their money's worth from student workers and are contributing to their profession. School administrators and teachers are satisfied with the learning experiences and job placements after the training period.

Cooperative education programs are more likely than other types of programs to: (1) provide students with job-related instruction in school; (2) provide job placement services and have a high rate of job-related placements; (3) help students decide on an occupation; and (4) provide students with jobs that fit into their career plans, offering a high level of responsibility and a high degree of satisfaction.

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* Specific occupational training programs are generally those funded under Part G. Findings relating to Work Study (or Dropout prevention) programs funded under Part H of the 1968 Amendments.

But there are some negative findings compared with other types of programs. Cooperative programs are (1) more apt to discriminate against students on the basis of student attitude; (2) less effective in reducing student absenteesim; (3) more apt to interfere with student's other activities in school and out; (4) more apt to segregate job placements by sex, and (5) more likely to restrict their offerings to students with rather conforming middle-class behaviors.

Effectiveness comparisons were based on standard follow-up information provided by the schools. In addition, a brief survey of employers was conducted, to obtain their attitudes about graduates of cooperative programs versus graduates of non-cooperative programs. Although school data indicated no obvious difference in the work experience of the two groups, the employer survey showed a definite difference. The sample of employers favored graduates of co-op programs (59 percent over those of non co-op), (4 percent non-co-op with 37 percent indicating no difference). School data indicated that the co-op students have little difficulty finding jobs and that a substantial percentage of co-op students (46 percent) were able to continue full-time employment with their co-op employer.

Ongoing and Planned Evaluation Studies

None

Sources of Evaluation Data

An Assessment of School-Supervised Work Education Programs, Part II Olympus Research Corporation, March 1976.

An Assessment of School-Supervised Work Education Programs. Systems Development Corporation, October 1973.

Cost Effectiveness of Selected Cooperative Vocational Education Programs as Compared with Vocational Programs without Cooperative component. Battelle Columbus Laboratories, June 1973.

Annual State Vocational Education Reports

State Advisory Committee Reports

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name

Vocational Education - Work Study Programs

Legislation	Expiration Date
VEA of 1963, as amended 1968, Part H	September 30, 1977 1/

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1965	$ 30,000,000	$ 5,000,000
	1966	50,000,000	25,000,000
	1967	35,000,000	10,000,000
	1968	35,000,000	10,000,000
	1969	35,000,000	-0-
	1970	35,000,000	4,250,000
	1971	45,000,000	5,500,000
	1972	55,000,000	6,000,000
	1973	55,000,000	6,000,000
	1974	55,000,000	7,849,000
	1975	55,000,000	9,849,000
	1976	55,000,000	9,849,000
	1977	15,000,000	9,849,000 2/

Program Goals and Objectives

As mandated under Part H, a work study program shall be administered by the local education agency and made reasonably available (to the extent of available funds) to all youths in the area served by such agency who are able to meet the following requirements:

> (1) youths who have been accepted for enrollment as a full-time student in a vocational education program which meets the standards prescribed by the State Board and the local education agency for vocational education programs assisted under this title, or in the case of a student already enrolled in such a program, is in good standing and in full-time attendance; (2) is in need of the earnings from such employment to commence or continue his vocational education program, and (3) is at least 15 years of age and less than 21 years of age at the commencement of his employment, and is capable, in the opinion of the appropriate school authorities, of maintaining good standing in his vocational education program while employed under the work-study program;
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> (2) provided that no student shall be employed under such work-study program for more than 15 hours in any week in which classes in which he is enrolled are in

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1/ States may continue to fund work study programs under basic State grants, but P.L. 94-482 does not extend authority for this categorical setaside.

2/ Appropriated for school year 1977-78.

session, or for compensation which exceeds $45 in any month or $350 in any academic year or its equivalent, unless the student is attending a school which is not within reasonable commuting distance from his home, in which case his compensation may not exceed $60 in any month, or $500 in any academic year or its equivalent;

(3) provided that employment under such work-study program shall be for the local education agency or for some other public agency or institution. Agencies must also provide for employment for students other than those funded under this title.

Program Operation

Formula grants are allocated to the States for work-study programs to assist economically disadvantaged full-time vocational educational students, ages 15-20, to remain in school. The programs provide part-time employment with public employers. Priority is given to areas having high dropout rates and high youth unemployment. Funds are used for the administration of the program and for compensation to students by the local educational agencies or other public agencies or institutions. Funds are allocated on a matching basis -- 80 percent Federal and 20 percent State and local.

Work-study is essentially an income maintenance program for economically deprived youth who are in school. Only about two percent of the Federal funds is used for administration; nearly all funds, about 99 percent, go directly to needy students in the form of wages for a public service job.

New legislation would continue to provide authority for States funding work study programs, but would consolidate the various categorical programs, including Part H, to give the States greater flexibility in planning and program operation. Present Part H restrictions, for example, severely limit support for postsecondary students and appear to inhibit States and LEAs from developing work-study programs which might provide jobs for students which not only provide pay for work but also a learning experience.

Program Scope

During FY 1975 States reported 47,980 students were employed in part-time jobs and received compensation under Part H. Of these, 39,690 were secondary and 8,290 postsecondary students.

Most of the recipients are secondary students. Since compensation cannot exceed $45 a month; most postsecondary students must look elsewhere for the financial support they need. Typical positions held by work-study students included: food service worker, clerk typist, hospital aide, printing assistant, drafting assistant, furniture repairer, and small-engine repairer.

Program Effectiveness and Progress

Work-study programs appear to meet their basic objective, which is to keep students in school by providing them with financial assistance, according to the "Assessment of School-Supervised Work Education" study. (The study is further described in the section relating to Cooperative Education Programs.)
After completing training, most of the men go into well paying ($149 per week average) jobs. Women go into service and clerical jobs which pay less, ($95 per week average).

Work study students in Part II indicate that they continue to earn slightly less, be less satisfied with their jobs and have slightly less employment stability than those who participated in single occupation (or cooperative programs). The difference in earnings between secondary students in cooperative education and work study students can probably be attributed to the fact that the latter are more likely to have jobs after high school in lower paying clerical jobs and service occupations than those participating in cooperative programs. Findings from an analysis of similar students participating in work education programs in the National Longitudinal Study of the Class of 1972 support these findings.

Part I of the study described above, indicates that while many work-study programs have additional goals such as improving the disadvantaged youth's attitudes toward school and work, very little attempt is made to offer students related classwork or intensive vocational training. Students are placed primarily in unskilled blue collar and clerical jobs. Only six percent of the cooperative education students were in the lowest category of job responsibility scale whereas 75 percent of the work-study education students were in this category.

Analysis of pay factors indicate that students in work-study programs are more likely than students in any other type of program to earn at best the minimum wage. Work-study students work primarily for money, as compared with cooperative education students who indicated that getting occupational training experience was more important than pay.

Ongoing and Planned Evaluation Studies

None

Sources of Evaluation Data

An Assessment of School-Supervised Work Education Programs, Part II, Olympus Research Corporation, March 1976

An Assessment of School-Supervised Work Education Programs, Part I, Systems Development Corporation, September 1973

Annual State Vocational Education Reports

State Advisory Council Reports

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Vocational Education -- Curriculum Development

Legislation:

VEA of 1963, as amended, Part I, 1968; as amended by Public Law 94-482

Expiration Date:

September 30, 1982

Funding History:	Year	Authorization	Appropriation
	1969	$ 7,000,000	$ -0-
	1970	10,000,000	800,000
	1971	10,000,000	4,000,000
	1972	10,000,000	4,000,000
	1973	10,000,000	6,000,000*
	1974	10,000,000	4,000,000
	1975	10,000,000	1,000,000
	1976	10,000,000	1,000,000
	1977	5,000,000	1,000,000

Program Goals and Objectives:

Part I of the Vocational Education Act of 1963, as amended, authorizes the Commissioner to make grants to or contracts with colleges and universities, State boards, and other public or nonprofit private agencies and institutions for curriculum development in vocational and technical education. No matching funds are required.

The Curriculum Development Program provides for the development, testing, and dissemination of vocational education curriculum materials for use in teaching occupational subjects, including those covering new and changing occupational fields. Curriculum materials are also provided for vocational teacher education. The program further provides for: developing standards for curriculum development in all occupational fields; coordinating the efforts of the States with respect to curriculum development and management; surveying curriculum materials produced by other agencies; evaluating vocational-technical education curriculum materials; and training personnel in curriculum development.

Program Operations:

In FY 1976, awards were made as a result of competitions held for the development, corrdination, and dissemination of validated vocational education curriculum materials. Examples of the kinds of projects funded are:

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*Two million dollars were impounded in FY 73 and released in FY 74.

1. A 12-month contract for the development of materials to assist teachers and guidance counselors in opening up opportunities in vocational and technical programs for gifted and talented students to progress toward their career goals.

2. An award for the development of a nuclear reactor operator technician (trainee) curriculum in modular form designed for a two-year postsecondary preparatory program and adaptable for use in industrial preparatory and upgrading types of programs. The period of the award is one year.

3. Grants to six curriculum coordination centers located in Trenton, New Jersey; Springfield, Illinois; Stillwater, Oklahoma; Mississippi State, Mississippi; Sacramento, California; and Olympia, Washington. The six centers comprise a national network for interstate curriculum planning; improving all of the States' capabilities in developing and managing vocational and technical curriculum resources and for diffusing information about instructional materials available and being developed.

4. An award for the design and broad content outlines for teacher and professional educator materials in the field of marketing and distribution. This is the first phase of a 4-year project to develop, test and diffuse curriculum materials addressing 19 subclusters in marketing and distribution.

Program Scope and Effectiveness:

Nineteen curriculum projects were funded in FY 70, 26 projects in FY 71, 33 in FY 72, and 27 in FY 73, 28 in FY 74, 20 in FY 75, and 15 in 1976. Since almost all projects are full-funded, these figures generally represent new starts.

Ongoing and Planned Evaluation Studies:

None.

Source of Evaluation Data:

1. Program Reports of Project Directors

2. Site Visit Reports by OE Program Staff

3. Report and Newsletters from Curriculum Network Centers

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Vocational Education - Bilingual Vocational Training

Legislation:	**Expiration Date:**
Vocational Education Act of 1963, as amended by P.L. 93-380 Part J, 1974; as amended by P.L. 94-482	September 30, 1982

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1975	$17,500,000	$ 2,800,000
	1976	17,500,000	2,800,000
	1977	10,000,000	2,800,000 1/

Program Goals and Objectives:

Grants and contracts under Part J may be used for (1) bilingual vocational training programs for persons who have completed or left elementary or secondary school and who are available for training by a postsecondary educational institution; (2) bilingual vocational training programs for persons who have already entered the labor market and who desire or need training or retraining to achieve year-round employment, adjust to changing manpower needs, expand their range of skills, or advance in employment; and (3) training allowances for participants in bilingual vocational training programs subject to the same conditions and limitations as are set forth in section III of the Comprehensive Employment and Training Act of 1973.

Program Operation:

Under this authority, the Commissioner contracts with appropriate State agencies, local education agencies, postsecondary institutions, private non-profit vocational training institutions especially created to serve a group whose language is other than English for the purpose of supplying training in recognized occupations and new and emerging occupations and to enter into contracts with private for-profit agencies and organizations to assist them in conducting bilingual vocational training programs.

Program Scope:

Twenty-two projects funded in FY 1976 are located in eight States and are training 1845 persons. The projects primarily serve persons from Spanish-speaking backgrounds; however, several projects have classes using French, Chinese, Navajo, Eskimo, Vietnamese and Russian languages. Six of the projects are located in community or junior colleges, three in local education agencies, four in institutions of higher education, two in vocational high schools

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1/ Requested supplemental for school year 1977-78.

and seven in private non-profit agencies. The essential aspect of these projects which differentiates them from a monolingual vocational training program is that training is conducted in both English and non-English language; trainees acquire sufficient competence in English to enable them to perform satisfactorily in a work situation.

Trainees are being trained to become: health assistants, machinists, geriatric aides, automechanics, para-legal and para-accountant aides, printing assistants, meat cutters, secretarial and clerk typists. Courses are also offered to train small engine repairers, emergency medical technicians, industrial sewing machine operators and repairers and other skilled and semi-skilled workers.

Program Effectiveness and Progress:

While several of the first projects funded have reported satisfactory completion and placement records, the data available are primarily descriptive. More than half of those funded in FY 1976 are new.

Data prepared for the mandated report, the Status of Bilingual Vocational Education indicate that persons from nonEnglish backgrounds have significantly less educational attainment than those from the total population. Bureau of Census data from the Survey of Languages, completed in 1975, indicate that about 19 percent of the total population aged 19 or older have completed only the eighth grade or less. Those from household whose usual language is non-English, from the same age group, report that 58 percent have completed only the eighth grade or less. The largest group, those from Spanish-speaking backgrounds, have an unemployment rate more than 5 percent greater than those from English backgrounds.

The Census survey did not identify those from limited English speaking backgrounds but reported data from population groups which included those who had language and comprehension problems.

An Inventory of bilingual vocational training programs for adults within the 50 States identified 98 programs in 21 States. Approximately 13,000 students are enrolled at any given time in bilingual programs which provide occupational training in nearly 400 courses. Thirty-eight percent of the programs are in California and 81 percent are in eight States: California, New York, Texas, Arizona, Pennsylvania, New Mexico, Connecticut and Massachusetts.

An examination of the literature, evaluation reports, research and other available data surfaces some issues to be considered in providing bilingual vocational training for adults but little data directly relating to the results of such programs.

Ongoing or Planned Evaluation Studies:

While plans are underway to fund a study to fulfill the Congressional mandate of evaluating the impact of these programs, a feasibility and design study highlights the unique problems inherent in the undertaking. For example, the programs are generally so small in size that the impact on the local markets do not appear to be measurable. However, an effort is planned which should indicate the extent to which persons from this population group do benefit from training and obtain jobs.

Sources of Evaluation Data

Status of Bilingual Vocational Training, a mandated report by the Commissioner of Education and the Secretary of Labor to the President and the Congress, December 1976.

Assessment of Bilingual Vocational Training, Kirschner Associates, Albuquerque, New Mexico, August, 1976.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Adult Education -- Grants to States

Legislation:

Public Law 91-230, as amended by
Public Law 93-380, Title VI, Part A

Expiration Date:

June 30, 1978

Funding History:	Year	Authorization	Appropriation
	1965	(Under Econ. Opp. Act)	$ 18,612,000
	1966	(" " " ")	20,744,063
	1967	$ 40,000,000	29,200,000
	1968	60,000,000	40,250,000
	1969	70,000,000	45,000,000
	1970	160,000,000	50,000,000
	1971	200,000,000	55,000,000
	1972	225,000,000	61,300,000
	1973	225,000,000	85,000,000
	1974	150,000,000	63,485,000
	1975*	150,000,000	67,500,000
	1976	175,000,000	71,500,000
	Transition Qtr.	-0-	71,500,000
	1977	200,000,000	80,500,000**

Program Goals and Objectives:

The purpose of this program, as stated in the legislation, is "to expand educational opportunity and encourage the establishment of programs of adult education that will enable all adults to continue their education to at least the level of completion of secondary school and make available the means to secure training that will enable them to become more employable, productive, and responsible citizens."

The legislation also mentions specifically: (1) service to institutionalized persons, not to exceed 20 per centum of the funds available to the State for adult basic and secondary programs, (2) cooperation with manpower development and training programs and occupational education programs and coordination with other programs including those for reading improvement, (3) utilization of amounts not to exceed 20 per centum of the State allotment for programs of equivalency for a certificate of graduation from a secondary school, and (4) assistance to persons of limited English-speaking ability by providing bilingual adult education programs to the extent necessary to enable these persons to progress through the Adult Education Program and coordination of these efforts with programs of bilingual education offered under Title VII of ESEA and the Vocational Education Act.

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* In 1975 the Appropriation Act included funds for both 1975 and 1976 placing this program on an advanced funding basis.

** Advance funding for FY 78

The Act also requires that, of the funds allotted to a State, not less than 15 percent be used for special projects and for training adult education personnel, but this was changed to 10 percent by the Education Amendments of 1976. In addition the Act specifies that a clearing-house on adult education be established and operated for the purpose of collecting and disseminating public information pertaining to the education of adults. Another goal of the Act is to encourage the use of State Advisory Councils in Adult Education, since these are authorized and the qualifications for members are specified.

The Rules and Regulations for State Adult Education Programs, published in the Federal Register on April 23, 1975, quote the Law concerning the general purpose of the Program. They also make provisions for the other goals mentioned in the Law.

Program Operations:

This program is operated through formula grants made to States for the education of adults, defined as persons who are 16 or more years of age and who (1) do not have a certificate of graduation from a school providing secondary education and who have not achieved an equivalent level of education and (2) are not currently required to be enrolled in school. Local school districts submit plans and proposals to the State education agency which makes the funding decisions. Ten percent of the total cost of any program must be covered by the State and/or local education agency, with up to 90 percent covered by Federal funds allocated to the State. (For the Trust Territory of the Pacific Islands the Federal share may be 100 percent.)

The program Rules and Regulations specify that each State shall prepare an annual program plan which must be submitted to the U.S. Commissioner of Education through the Assistant Regional Commissioner for Occupational and Adult Education, and received in the appropriate DHEW Regional Office on or before the last day of the Fiscal Year preceding that for which funds are sought. This annual plan must be revised each year to reflect proposed activities for the ensuing fiscal year and must be submitted to the U.S. Commissioner for approval in accordance with the requirements set forth in the General Education Provisions Act. The information in the plan must be in sufficient detail to enable the Commissioner to determine whether the provisions of the Act and the Regulations are being administered efficiently and to determine whether and to what extent substantial progress is being made with respect to all appropriate segments of the adult population in need of adult education.

In addition, the program plan shall describe procedures to be used for conducting an annual evaluation of all activities carried out in the year for which funds are sought. These include specific criteria to be used in assessing the effectiveness of the program or project. The evaluations are to be conducted either by the State agency or by "other parties." Copies of any reports of such evaluations are to be sent to the Commissioner, and results of the evaluations are to be reflected in the performance report which must be submitted annually with the financial status report.

The Program Rules and Regulations (April 23, 1975) discuss the establishment of national priorities in Adult Education. They state that the U.S. Office of Education will review and identify annually for the guidance of State educational agencies, national priorities in the field of Adult Education. State educational agencies may take these priorities into consideration in developing their annual program plans. The areas suggested for the Fiscal Year 1977 are: (1) Dissemination in Adult Education, (2) Adult Performance Level Implementation (APL), (3) Role of the Employer in Adult Learning, (4) Education Programs for the Elderly, and (5) Eliminating Sex-Role Stereotyping..

Program Scope:

The group on which this program has focused consists of over 52.5 million adults aged 16 years or over who have not completed and who are not currently enrolled in high school. Within this group special emphasis is directed toward approximately 15,000,000 adults with less than eight years of formal education.

A new perspective on those to be served has resulted from a study entitled "Adult Functional Competency" which was completed in 1975 by the University of Texas for the U.S. Office of Education. The study was designed to measure accurately the educational needs of U.S. adults in terms of performance level criteria derived from the concept of functional competence. A representative sample survey showed that 63.2 million adults between ages 18 and 65 lack the competencies needed to meet everyday requirements. Of this number, 23.2 million are so seriously deficient as to be functionally incompetent or "illiterate" in functional terms.

Among those eligible to be served are the approximately 750,000 public school students who drop out each year and who are therefore eligible to participate in the program. There are also about 400,000 immigrants arriving each year, a substantial number of whom need bilingual instruction as well as instruction in English as a second language in order to function as citizens in the United States.

Allotments to States are based on the number of resident adults who have not completed high school. The allotments to the individual States and territories in FY 75 ranged from $123,695 to $5,925,791. The average allotment was $1,276,786. It remained the same in FY 76.

Program Effectiveness and Progress:

During FY 1975 there were more than one million participants in adult education programs receiving Federal funds through the State Grant Program. Of these, about 31 percent were enrolled in courses described as English as a second language, and 8 percent were people in institutions -- hospitals, prisons, etc. Of the total number of participants approximately 56 percent were females, 38 percent were unemployed, and 13 percent were on public assistance rolls. States also reported that about 9 percent received certificates of completion at the 8th grade level, 11 percent passed the General Education Development Test, and 7 percent enrolled in some other educational program as a result of having been enrolled in the adult basic or secondary education program.

The design of the adult education clearinghouse (ADELL -- Adult Education and Lifelong Learning) was begun in September 1976 under a contract awarded to Northern Illinois University. This design phase will be completed and operations will begin in mid-spring 1977. When fully operational in the fall of 1977, Clearinghouse ADELL will have a computer-based referral/response capability as well as a communication/outreach function.

In November 1973, a study entitled Longitudinal Evaluation of the Adult Basic Education Program was completed for USOE by Systems Development Corporation. The Salient findings in this study were:

A. RELATIONSHIPS BETWEEN PROGRAM CHARACTERISTICS AND EFFECTS ON STUDENTS

Students generally had very positive opinions about their ABE experiences and about their improvement in reading, writing, and mathematics. Most students also gave ABE credit for job and earnings improvements. However, in spite of extensive statistical analyses of the data collected during this study, no clear or convincing relationships could be discovered between program characteristics or classroom methods and the differential gains students made in earnings and in academic achievement.

Analyses explored classroom variables, attendance patterns, and individual student characteristics in an attempt to find program features that would tend to be successful in improving either the test scores or the earnings of at least some types of students. It was thought, for example, that programmed instruction, intensity of instruction, or the use of teacher aides might show some demonstrable relationship to student improvement. However, analytic results were insufficiently clear-cut to form a reasonable basis for programmatic recommendations. One problem in assessing the ABE program was that at the time of the study, no standards for the rate at which adults should progress existed.

B. COST DATA

Informal cost estimates were supplied by local program directors and by teachers. These figures indicate that total mean annual expenditures are around $4,000 per ABE class per year. Since the average class enrollment in November, 1971, was 16 students, average total annual expenditures are $250 per enrollment at any one time, if it is assumed that student turnover maintains the enrollment of each class at a steady number.

At the local level, around 79% of ABE program funds are estimated to be Federal, 12% are State, 7% are local (including, in some instances, contributions in facilities or services rather than in cash), and 2% are miscellaneous other.

About 60% expenditures by local programs are for instructional salaries and benefits, 14% are for administration, 7% for clerical support, 5% for guidance and counseling, and 5% for books, supplies, and equipment. Only 40% of programs have any specific funds allocated for counseling and advisement; still fewer have specific funds for recruiting students (19%), for training teachers (15%), or for program evaluation and improvement (11%).

Pay to teachers reported in 1972 averaged $6.20 per hour and ranged from $3.50 to over $11.00 an hour. The most frequent pay rate was $5.00 an hour. Paraprofessional aides were paid from 50 cents to $5.62 an hour, the average being $2.50 per hour.

C. STATE AND LOCAL APPROACHES TO ESTABLISHING CLASSES AND USING INNOVATIONS

Little evidence could be found that ABE programs are established, or that students are recruited, in such a way as to deliberately seek out unusually hard-to-reach adults. Target populations are described very broadly, using such standard criteria as "sixteen years of age or older and functioning below an eighth grade level." Program and class locations in 1971-72 appeared to be established to a large extent on the basis of continuity from the preceding year.

State and local directors of ABE were asked about the use of innovative methods and materials developed by special or demonstration ABE projects. From the point of view of State directors, innovative results are widely used, although few specific innovations are used in more than one State. However, the use of these innovations could not be confirmed in the local programs and classes investigated.

D. POSITIVE EFFECTS ON PARTICIPANTS

1. Reading and mathematics achievement gains occurred
2. ABE helped in getting salary increases
3. Steady gains in employment occurred
4. Earnings of those who worked definitely increased
5. ABE helped on the job
6. Students had high opinions of ABE methods, materials, and staff

In June 1975 the Comptroller General of the United States released a report to the Congress on OE's Adult Basic Education Program: Progress in Reducing Illiteracy and Improvements Needed. This report, which looked at the program since its inception in 1965, points out that earlier only eight States operated any significant adult basic education programs. In FY 1965, according to OE figures, there were 19 States and 37,991 students participating in the Federal program. "Two years later all fifty States, the District of Columbia, and five territories conducted adult basic education classes. In Fiscal Year 1972, more than 820,000 adults attended the adult education programs, 44,560 evening and 14,713 daytime classes. By 1973 enrollment had risen to nearly 850,000 and OE expected enrollment to reach one million in 1974." Recent reports show an enrollment of 1,221,210 adults in FY 75.

The report concludes:

> "Since it began in 1965, the Adult Basic Education Program has expanded educational opportunities by establishing broadly available programs for those adults who want to continue their

formal education through completion of the 8th grade and in some cases through high school. Although the Adult Education Program has had positive achievements, as currently funded and operated it is successfully reaching only a small fraction of those needing it -- particularly among the more educationally deficient.

In February 1976 the final report on a project carried out by Kirschner Associates, Inc. was received. This study attempted to define needs for various types of adult education; to describe current responses to that need at Federal, State, and local levels; to identify and analyze differences between need and response; and to identify and explore alternative roles (policies) for the Federal government. The project defined five different types of adult education -- basic, secondary, job-related, functional, and personal development.

The study was based entirely on secondary data sources including Census, NCES adult participation data, OMB Federal program descriptions, and bibliographic information. Economic and social analyses were made for each of the five types, the need was defined, and the participation data analyzed. General information on the supply of programs was noted, and a comparison was made of the need and the supply.

Among the policy issues discussed are: (1) Federal financial support for adult education, (2) Varying emphasis on different types of adult education, (3) Focusing on different target groups such as women or older persons, (4) Delivery systems for adult education, (5) Federal legislation, and (6) Further research and evaluation in adult education. Among the more provocative conclusions presented for further discussion at the Federal level are the following:

1. Development of the nations' human resources through adult education is accorded a very low national priority as measured by the Federal financial support received.

2. After looking at all five types of adult education, one concludes that Federal emphasis should be selective in order to serve a population that has an unmet need or to achieve a particular purpose. There appears to be limited utility in such broad policy as that "everyone should be literate." While complete literacy is desirable, it is not likely to be achieved. Further as social and economic conditions change, one must anticipate that relative emphases among the five types of adult education will change. This suggests a policy of flexible administration to answer adults' current needs.

3. It is evident that each group in society has some legitimate claim to public support for its participation in adult education. This conclusion suggest that no one should be denied entirely some public support and that the balance among claimants for support must continually be adjusted to reflect current societal conditions and needs.

4. Delivery systems in adult education are pluralistic, and their variety should be maintained. Selecting one or two delivery strategies for official sanction does not seem appropriate on the basis of available data. It may well be that the pluralistic and often competitive nature of the system will result in the provision of programs that are sensitive to the different needs of adults. With respect to funding one can see the need for increased Federal, State, local and private funding to accommodate generally increased levels of participation as well as sharp increases in participation by the young (drop-outs, etc.), by the disadvantaged, and by women.

5. The data suggest that the legislative variety that exists today may serve a useful purpose in preserving the pluralistic approach and in providing for the differing needs of heterogeneous groups of adults. Thus a major overhaul of Federal adult education legislation is probably not required at this time, but, there are possibilities for improvements in eliminating some overlap among Federal programs.

Ongoing and Planned Evaluation Studies:

None

Sources of Evaluation Data:

Annual State Performance and Financial Reports

Regional Office Reports on Site-Visits to Programs and State Departments

HEW Reports on State Program Audits

Management Evaluation Review for Compliance (MERC) reports prepared on the basis of site visits by the OE Bureau of Occupational and Adult Education staff in conjunction with U.S.O.E. Regional Office staffs.

Longitudinal Evaluation of the Adult Basic Education Program. Systems Development Corporation. Washington, D.C. November 1973.

The Adult Basic Education Program: Progress in Reducing Illiteracy and Improvements Needed. The Comptroller General of the United States. Washington, D.C. June 1975.

Research and Evaluation in Adult Education. Kirschner Associates, Inc. Washington, D.C. and Albuquerque, N.M. February 1976.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Career Education

Legislation:

Public Law 531, 83rd Congress, as Amended
Public Law 93-380, Section 402 and Section 406*

Expiration Date:

June 30, 1978

Funding History:	Year	Authorization	Appropriation
	1975	$ 15,000,000	$ 10,000,000
	1976	15,000,000	10,135,000
	1977	15,000,000	10,135,000

Program Goals and Objectives:

Section 406 establishes as policy that: (1) When every child has completed secondary school, he should be prepared for gainful or maximum employment and full participation in society according to his or her ability, (2) Local educational agencies have an obligation to provide such preparation for all students, and (3) Each State and local agency should offer programs of career education which provide a wide variety of options designed to prepare each child for maximum employment and participation. It is the purpose of Section 406 to assist in achieving these policies through the following activities:

1. Developing information on needs for career education.
2. Promoting a national dialogue which will encourage State and local agencies to determine and adopt the best career education approach for children they serve.
3. Assessing the status of career education programs and practices, including a reassessment of stereotyping of career opportunities by race or sex.

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*During FY 75 this Program operated under the authority of the Cooperative Research Act. During FY 76 it operated under the Special Projects Act, Public Law 93-380, Section 402. Under the latter Act, half of the Special Projects funds go directly to the Commissioner for use in contracts and the other half go to the Programs named in that Act, one of which is Career Education. For FY 76 the Program received $7 million from the Commissioner's share of the funds, which must be used for contracts, and $3,135,000 as one of the special programs, which funds may be used for grants under Section 406.

4. Providing for demonstration of the best current career education programs and practices by developing and testing exemplary programs and practices based on varying theories.

5. Providing training and retraining of persons to conduct career education programs.

6. Developing State and local plans for implementing career education programs.

In addition to its stated purpose of authorizing the implementing activities mentioned above, the Law also: (1) set up a National Advisory Council on Career Education; (2) established an Office of Career Education within the U.S. Office; (3) authorized the Commissioner to make grants to State and local educational agencies, institutions of higher education, and other non-profit agencies and organizations for demonstration projects; (4) authorized the Commissioner to make grants to State educational agencies for State planning projects; and (5) mandated a survey of career education. (This survey has been completed and was forwarded to the Congress in May 1976.)

Program Operations:

Applications for demonstration projects and for State planning projects are received from eligible agencies and institutions in the field. Those to be funded are selected by review panels on the basis of criteria having to do with the following: (1) evidence of need, (2) practicability and measurability of objectives, (3) quality of operational plan, (4) quality of evaluation plan, (5) extent to which project is exemplary, (6) quality of personnel, and (7) extent to which the budget is reasonable.

In addition to evaluating the effectiveness of her/his project and determining the extent to which the objectives were accomplished, each applicant is responsible for providing a final report on his/her efforts. He/she is also responsible for incorporating a plan to disseminate information to others during the course of the project as well as at the conclusion of the grant period.

Program Scope:

FY 76 funds were used to support 118 career education projects covering six categories of activities. The first fice categories consist of 71 "exemplary projects" in K-12 programs, senior high school and beyond, methods and technics for special groups, teacher training, and communicating career education concepts. The sixth category consists of 47 projects to develop State plans for career education.

The average grant for an exemplary project is approximately $103,000 and the average for a State planning project is $45,000. There are projects in all except two States and three Territories. Exemplary project awards were made in 33 States and 1 territory (D.C.), while planning awards were made in 44 states and 3 territories.

Program Effectiveness and Progress:

Section 406 of P.L. 93-380 gave as its purpose achieving stated Career Education policies through six specified activities. In spite of a limited number of OCE staff, evidence is available of substantial progress in all of the first five activities. Work in the sixth activity, developing State and local plans, was not to be implemented until August 21, 1975 according to the law, and this has also been largely accomplished.

In 1975 the Office issued a policy paper, An Introduction to Career Education, which provided OE's first comprehensive conceptual statement on Career Education. There were six additional OE publications in FY 1975 and four in FY 76. Most of these publications deal with different conceptual issues in this field and thus contribute to the intent of the law concerning the initiation of a national dialogue about career education.

The Office of Career Education has established within its Offices a library consisting of approximately 3,000 pieces of non-commercial material on career education. These curricula, workbooks, teacher training outlines, etc. have been sent in by practitioners across the country. All materials have now been indexed according to a classification scheme which provides an indexed card for each piece with 40 key descriptors, including items related to sex and race stereotyping.

The Office of Career Education continues to put special emphasis on evaluation. It has cooperated with the Office of Planning, Budgeting, and Evaluation to produce a handbook for practitioners to help them evaluate their projects. A first draft of this handbook grew out of the evaluation of prototype career education projects supported under Part D, VEA. It was field tested during FY 75. The final version entitled Evaluation and Educational Decision-Making: A Functional Guide to Evaluating Career Education has been widely distributed during FY 76.

In addition, conferences for all project directors include a block of time devoted to the problem of designing adequate evaluations for each project. A contract has been awarded to the National Testing Service of Durham, N.C. to provide technical assistance in evaluation to 15 of the on-going demonstrations in career education. One of the publications mentioned above is a monograph entitled Perspectives on the Problem of Evaluation in Career Education. One of the 12 special-focus mini-conferences held in FY 76 was on evaluation.

Ongoing and Planned Evaluation Studies:

A new study is planned for FY '77. It will be a search for K-12 career education activities which have been objectively evaluated. The evaluations will be analyzed to obtain information about problems and possibilities in evaluating career education. Those activities which show sound evidence of effectiveness will be prepared for dissemination.

Sources of Evaluation Data:

Project reports from grantees (Interim reports of January, 1976 and Final reports of September, 1976).

Career Education in the Public Schools, 1974-75: A National Survey. American Institutes for Research. Palo Alto, California. May 1976.

J. EVALUATION OF DEVELOPMENTAL PROGRAMS

J. Evaluation of Developmental Programs

The programs grouped under this broad category are generally regarded as resource development programs and programs that deal with special problems, although these groupings are not very precise. Included are: Teacher Training Programs, the Right To Read Program, Library Programs, Indian Education, Educational Television, and those listed under the Special Projects Act, Title IV, P.L. 93-380 (Metric Education, Gifted and Talented Children, Community Schools, Consumers' Education, Women's Equity in Education, and Arts in Education).

Teacher Training

With the exception of Teacher Corps, most teacher training programs were being phased out during FY 1976 because of the surplus of teachers. Teacher Corps itself is being redirected from training of new teachers to retraining. Sections 151 and 153 of the Education Amendments of 1976, however, added new authorizations for teacher training which may be implemented in future years.

In the area of Teacher Training, a study of graduates of the sixth cycle of Teacher Corps has been completed. The study showed that Teacher Corps graduates were superior to control group teachers on many of the teacher performance variables desired by Teacher Corps. The Teacher Corps graduates were most different from control group teachers in terms of (a) developing ethnically relevant curricula, (b) using community resources in teaching and initiating contact with parents, and (c) having positive attitudes about reading development and causes of poverty in the society. These variables reflect a special concern about low-income minority group children on the part of Teacher Corps. However, there were no differences in such areas as being a change agent in the school or the interaction between teacher and pupils in the classroom, as assessed by the teacher performance measures used in the study. Further, there were no significant differences between Teacher Corps and control group classes on any reading measure, despite a greater emphasis on reading instruction and academic subject matter on the part of control group teachers in grades 2-3. Teacher Corps graduates, however, were able to bring about changes in a child's self-concept that were significantly greater than changes brought about by control group teachers. These changes consisted of observed expressions of greater happiness and greater self-worth in the classroom, and better scores on important subscales of the Piers-Harris self-concept scale.

Educational Television

Because USOE has not had a clear definition of the Federal role in Education television programming, a planning study was initiated. Among the more important findings was that the common USOE practice of limiting grants to three years is counter-productive. It was found wasteful to pay the tremendous start-up costs of a high-quality purposive television series for a single broadcast season, and then withdraw support to fund other projects. A fair market trial can take four to five years. Experience at the Children's Television Workshop (CTW) indicates that it takes one to two years just to prepare a major purposive series for national distribution, and then it takes two to three years of promotion and remake to determine how well it can do in the marketplace, and whether or not it can develop convincing levels of consumer demand for continued services. A limited-channel distribution system can only accept a limited number of series.

These few should be well-funded in the first place, and funded for a sufficient length of time to provide a fair market trial. At present there is no apparent policy answer to the question of continuing support in case an experimental series succeeds.

The Right To Read Program

This has been a catalytic, demonstration program intended to stimulate a national effort to eliminate functional illiteracy. As such, there was and is expectation that it would have impact beyond the level normally expected for a program of its size. It is anticipated that this general strategy will be continued in the future.

Library Programs

Recent studies have indicated that Federal library programs have been successful in delivering library services to special target groups and that the Federal programs have stimulated State, local, and private support both for public and school libraries. The studies have also indicated that the Federal presence has been important in providing coordination and direction to State and local efforts.

Indian Education

P.L. 93-380 enacted an expanded Indian education program. Most efforts so far have focused on implementation including the development of regulations and the establishment of a data base and information system. A current study is examining the effectiveness of the efforts to implement the program of support to LEAs (IEA, Part A).

Special Projects

Section 402 of P.L. 93-380 created the Special Projects Act which authorized the Commissioner to carry out special projects through grants and contracts:

"(1) to experiment with new educational and administrative methods, techniques, and practices;

(2) to meet special or unique educational needs or problems; and

(3) to place special emphasis on national educational priorities."

The following programs were included under the Act:

A. Education for the Use of the Metric System of Measurement

A program to encourage educational agencies and institutions to prepare students to use the metric system of measurement.

B. Gifted and Talented Children

A program for the education of gifted and talented children through grants to the States for such purpose.

C. Community Schools

A program of grants to local educational agencies to assist them in planning, establishing, expanding, and operating community education programs.

D. Career Education

A program to assess, and to encourage establishment and operation of, career education programs.

E. Consumers' Education

A program of grants and contracts designed to provide consumer education to the public.

F. Women's Equity in Education

A program of grants and contracts designed to provide educational equity for women in the United States.

G. Arts in Education Programs

A program of grants and contracts designed to assist and encourage the use of the arts in elementary and secondary school programs.

With the exception of the Career Education Program, which is discussed above under Occupational Programs, none of these programs have been evaluated because of their newness. However, there is a mandated study in process of sex discrimination in education. This is being carried out by the National Center for Educational Statistics. In addition, a mandated study of the Community Schools Program is planned for FY 1977 and will be conducted by the Office of Planning, Budgeting and Evaluation.

ANNUAL EVALUATION REPORT OF EDUCATIONAL PROGRAMS

Program Name:

Teacher Corps Program

Legislation:

Expiration Date:

FY 1979

Part B-1 of the Education Professions Development Act (Title V of the Higher Education Act of 1965 as amended (P.L. 89-329) as amended) and P.L. 93-380, Title V, Section 511-514.

Funding History:	Year	Authorization	Appropriation
	1966	$ 36,100,000	$ 9,500,000
	1967	64,715,000	11,324,000
	1968	33,000,000	13,500,000
	1969	46,000,000	20,900,000
	1970	80,000,000	21,737,000
	1971	100,000,000	30,800,000
	1972	100,000,000	37,435,000
	1973	37,500,000	37,500,000
	1974	37,500,000	37,500,000
	1975	37,500,000	37,500,000
	1976	37,500,000	37,500,000
	1977	50,000,000	37,500,000

Program Goals and Objectives:

The purposes of Teacher Corps as stated in the legislation are to strengthen the educational opportunities available to children in areas having concentrations of low-income families and to encourage colleges and universities to broaden their programs of teacher preparation and to encourage institutions of higher education and local educational agencies to improve programs of training and retraining for teachers and teacher aides by --

(1) attracting and training qualified teachers who will be made available to local educational agencies for teaching in such areas;

(2) attracting and training inexperienced teacher interns who will be made available for teaching and inservice training to local educational agencies in such areas in teams led by an experienced teacher;

(3) attracting volunteers to serve as part-time tutors or full-time instructional assistants in programs carried out by

local educational agencies and institutions of higher education serving such areas;

(4) attracting and training educational personnel to provide relevant remedial, basic, and secondary educational training, including literacy and communication skills, for juvenile delinquents, youth offenders, and adult criminal offenders; and

(5) supporting demonstration projects for retraining experienced teachers and teacher aides serving in local educational agencies.

This last goal, reflecting changes introduced by the 1974 amendments, broadens Teacher Corps mission in two significant aspects. First is the inclusion of specific authority for the retraining of experienced teachers and teacher aides. Second, each Teacher Corps project will emphasize the demonstration of new programs and practices which emphasize the linkages between preservice and inservice and which involve the total faculty of a site school. Typical program elements include flexible models of teacher education based on performance criteria; the development of collaborative decision-making procedures assuring parity to the participating college or university, community served by the project, and local educational agency; the development of a community component which seeks to lessen the distance between the institutions and community by providing educational services beyond the school walls and involving parents in the classroom program; the demonstration of a major teacher training thrust or framework (CBTE, multidisciplinary, research based, etc.) for the demonstration of an integrated program of training and retraining; and an emphasis on the improvement of the management function within the cooperating agencies for the delivery of educational personnel and retraining services.

Program Operations:

Teacher Corps awards grants to an institution of higher education and a local educational agency, either of which may be the prime contractor, to cooperatively mount and operate a project which will be managed collaboratively. The project governance structure includes representatives of the community served by the project. Awards are made each year to a two-year project duration, subject to satisfactory performance during the first year and negotiations of the second year budget. Projects operate more or less independently, receiving guidance from the program specialist assigned monitoring responsibility within the Teacher Corps office, and submitting quarterly reports of progress. Geographically contiguous projects are organized into "networks," a loose colloquium of projects seeking to find cost-beneficial and efficient ways to meet mutual needs for communication and services. Teacher Corps also supports various technical and developmental services to assist projects. These include several recruitment, technical assistance, and referral centers, annual national conference and staff training effort, and, in 1975 and 1976, a

Corps Member Training Institute, providing a single site preservice experience for all Tenth Cycle Interns and team leaders.

Program Scope:

During Fiscal Year 1976, the Teacher Corps had 213 operational projects. These projects were located in 111 school districts, 96 institutions of higher education, 6 State Departments of Education, including Guam and Puerto Rico, for a total of 213 projects. In addition, 122 new projects were funded to begin in the Transition Quarter of Fiscal Year 1976. Projects, through differentiated staffing and individualized instructional activities, directly affected the learning experience of approximately 131,000 children. Approximately 80 percent of these children were from elementary schools. Teacher Corps projects impacted on special clientele groups such as bilinqual children (23 projects), Indian children (22 projects), and children in correctional institutions (15 projects). Teacher Corps also supported a special program which encouraged high school and college students, parents and other community residents to serve as tutors or instructional assistants for children in disadvantaged areas.

Program Effectiveness and Progress:

A number of evaluation studies provide information and insight about program operation. For example, a survey of June 1972 Teacher Corps graduates was conducted by Teacher Corps in August 1972. Seventy percent, or 900 of 1300 graduates responded. About 570, or 63 percent, indicated that they would remain in the field of education with 27% (240) of this group teaching in the school district where they served as interns. Ten (10) percent of the interns had not found teaching positions at the time of the survey.

In addition, the Comptroller General's Office issued a report to the Congress in July 1972, concerning the assessment of the Teacher Corps program made by the General Accounting Office (GAO). The study consisted of a review of Teacher Corps projects at seven institutions of higher education and the respective participating local education agencies. Also, a questionnaire was sent to all Corps members in the Nation who had completed their internships in 1968 and 1969. A total of 550 responded to the questionnaire. The findings and conclusions are grouped according to the two major program purposes as follows:

1. Strengthening educational opportunities

   The GAO found that the program strengthened the educational opportunities for children of low-income families who attended school where Corps members were assigned. Corps members provided more individualized instruction, used new teaching methods, and expanded classroom and extracurricular activities. Most of the interns and team leaders believed that children in the schools served by the program had benefitted from it. The classroom assistance provided by interns made it possible for regular teachers to devote more time to individualized instruction and make classes more relevant to the needs of the children.

Some of the Teacher Corps approaches to educating children were continued by the school districts after Corps members completed their assignments. Other approaches were discontinued because the school districts either had not determined their usefulness or did not have sufficient staff and financial resources to carry them on. Corps members generally became involved with various types of educational community activities which most Corps members believe had been a benefit to both children and adults. Some believed, however, that the activities were of little or no benefit due to poor planning and lack of community support. A majority of the interns who graduated from the program remained in the field of education. Most of these interns took teaching positions in schools serving low-income areas.

2. Broadening teacher-training program

The GAO study indicates that the program had some success in broadening teacher preparation programs at institutions of higher education. All seven institutions made some changes in their regular teacher preparation program as a result of the Teacher Corps. Five institutions developed a special curriculum for the Teacher Corps; the other two used existing courses. Most interns believed that their academic course-work was relevant to their needs. The impact of the program was lessened, however, because much of the special curricula was not made available to non-Teacher Corps students and because institutions had not identified teaching approaches and techniques that would warrant inclusion in their regular teacher preparation programs. The institutions that used existing courses for Teacher Corps students did not determine the effectiveness of these courses in preparing Corps members to teach disadvantaged children.

Another relevant study is the Resource Management Corporation evaluation of Teacher Corps during FY 72. This evaluation covered 70 projects having 2,490 interns. Sixty-three projects with approximately 1900 interns responded to the survey instruments. The major conclusion drawn from this study was that while the Teacher Corps projects had performed fairly well in terms of operating within program guidelines, there were some areas that stood out as meriting attention by program specialists. The academic training offered to interns, for example, was much more inflexible than desired by the program staff. Only 31 percent of the total course-work was open for negotiation by interns, with 69 percent required by the college or project. This finding is considerably different from the 50-50 balance established as a program goal. In addition, interns perceived a lack of communication among groups within a project and cited this as the major problem area for the program. A further area of concern was in the level of involvement of many advisory councils and of the community in general in project operations. One example was that in 26 projects, advisory councils met quarterly or semiannually. Finally, considerably more projects emphasized change in college training programs as opposed to change in the school systems.

At least one analysis of a particular project -- The Louisville, Kentucky Cycle V Project -- offers further useful insight into program operations and accomplishments. The major thrust of this project was to strengthen educational opportunities in inner-city schools by training 100 Teacher Corps interns to become working partners on facilitating teams. These interns were an integral part of a ten-member teaching team employing humanistic learning processes, relevant curriculum and flexible educational structures. The teaching staffs of six elementary schools were reassigned as necessary so that these schools could be completely restructured around 3 to 6 teaching teams each composed of one experienced coordinating teacher (team leader), another experienced teacher (staff teacher), four Teacher Corps interns, two paraprofessionals, and student teachers when available. Each team instructed approximately 100 children in an open learning environment.

During the first year of the Cycle V Teacher Corps project, only 17% of the elementary classes (grades 2-6) in project schools had an increase of 0.7 years or more in the total reading achievement mean. But, in the second year of the project this percentage had more than tripled to 54% of the classes (grades) having an increase of 0.7 years or more. The percentage indicating a year or more of growth advanced from only 4% to 18%.

Other advantages resulting either totally or partially from Cycle V Teacher Corps include:

1. A lowered pupil-teacher ratio by using differentiated staffing.

2. More creativity and innovation in the schools due to the wide range of backgrounds of Corpsmen.

3. Decreased vandalism and increased school attendance.

4. Communication improved at all levels of instruction.

5. Increased individualization of instruction.

6. Improved pupil attitude toward school and self-concepts according to pre- and post-test data.

7. Increased special programs for children with special needs, e.g., behavior modification classes, enrichment programs, tutorial and remedial classes.

8. Involvement of parents in making curriculum decisions.

9. Training of teachers to use behavioral objectives.

10. Increased counseling services for pupils.

11. An expanding behavior modification program (Swinging Door) initiated by Cycle V interns to encourage students to remain in the School System.

12. Development of a 10-year plan for spreading team teaching and differentiated staffing in the District.

13. Neighborhood School Boards as an integral part of local school decision-making.

14. Closer communication and cooperation between universities and the School District.

15. Establishment of cross-age tutoring.

A major study of the impact and effectiveness of Teacher Corps by Pacific Training and Technical Assistance Corporation was begun in July 1972. This was a two phase comprehensive study which concentrated attention and evaluation on measurement of program performance in terms of the ultimate student performance goal. The study focused on assessment and analysis of the impact of the program as measured by three major dimensions -- institutional change, enhanced teaching skills and behaviors, and improved classroom learning by students taught by Teacher Corps interns and graduates. Twenty 6th cycle elementary school projects participated in the study. Phase I of the study was completed in June 1974. Phase II was completed in December 1974.

The objective of Phase I of the study was to identify and analyze those combinations of intern background characteristics and training program characteristics that are related to desired teaching skills and attitudes of interns at the end of their training (exit characteristics). Data were collected at 20 Sixth Cycle Teacher Corps projects. The 20 projects represent all of those that prepared interns as elementary school teachers during the period 1971-1975. Data about the training program at each site were obtained by interviews with and completed questionnaires from eleven role groups involved in each project, e.g., team leaders, school principals, superintendents, higher education personnel, etc. Data about intern teaching characteristics were obtained from a 50 percent stratified random sample of interns (sample N=369). All data about the training programs for interns and the teaching characteristics of interns were gathered in the spring of their second year of teaching. No comparisons were made with comparable groups of teachers in non-Teacher Corps training programs.

Information about the teaching characteristics of interns was gathered in several ways. Each intern was observed three times by an individual trained in the use of classroom observation instruments. To complement the classroom observations, each intern completed a log of his/her professional activities over one week's time. An interview with the intern about activities in the log provided information on how interns prepared lessons, diagnosed pupil needs, and evaluated pupil performance. Additional information was gathered from interns and their team leader by means of several questionnaires.

The conclusions drawn from Phase I of this study are:

1. Background characteristics, and training program characteristics were not good predictors of an intern's exit teaching skills and attitudes;

2. To the extent that intern background characteristics and Teacher Corps training program characteristics are related to intern exit teaching skills and attitudes, it is the Teacher Corps training program rather than an intern's background characteristics that are most closely associated with his exit teaching skills and attitudes;

3. The training program characteristics most closely associated with intern exit teaching skills and attitudes are:

    a. the pattern of collaborative decision-making;

    b. the degree of program integration, e.g., follow-up of course-work in public school setting;

    c. the degree of personalization of the program for interns; and

    d. the community component for interns.

4. The extent that teacher competencies were specified and used by the project was not closely related to any intern exit teaching skill. Other aspects of competency-based teacher education, however, were among the best predictors of intern exit teaching skills. These aspects include collaborative decision-making and the personalization of the program for interns; and

5. For Black, Chicano, or White interns studied separately, there were discernible patterns of relationship between intern background characteristics, Teacher Corps training program characteristics, and intern exit teaching skills and attitudes. For example, the community component of the training program for Chicano and White interns was directly related to the ability of these interns to communicate effectively with pupils. Such a relationship did not hold for Black interns.

Phase II of the study was designed to compare 100 first-year teachers who were Teacher Corps interns with other young teachers. The teachers were compared in terms of teacher performance and growth. Pupils of all teachers in Phase II were given an achievement test in reading and an attitude test, measuring self-esteem, in the Fall and Spring of the 1973-74 school year. In addition, classroom observation was carried out to assess both teacher behavior and pupil behavior. The basic purpose of Phase II were:

1. To assess the effectiveness of Teacher Corps graduates in working with low-income/minority group children; and
2. To assess patterns of relationship between teacher background, teacher education program, teacher behavior and pupil learning and growth variables.

The conclusions drawn from Phase II of the study are:

1. Teacher Corps graduates were superior to control group teachers on many of the teacher performance variables desired by Teacher Corps projects, e.g., developing ethnically relevant curricula, using community resources in teaching and initiating contact with parents, positive attitudes about reading development, and causes of poverty in society.
2. There was no difference between the two groups of teachers in terms of (a) their perception of the importance of bringing about educational change in the school, and (b) in reading gains of pupils despite a greater emphasis on reading instruction on the part of control group teachers in grades 2-3.
3. Teacher Corps graduates were able to bring about changes in a pupil's self-concept that were significantly greater than changes brought about by control group teachers.
4. Teacher Corps graduates who facilitated both high reading gains and improved self-concept tended to be teachers who brought about changes in the school and who initiated contact with parents.
5. No teacher background characteristics or Teacher Corps program variables were significantly correlated directly with pupil reading gain. A number of Teacher Corps program variables, however, were significantly correlated with pupil self-concept growth and other pupil variables. The consistent pattern of relationship between most pupil variables and Teacher Corps program characteristics strongly suggests that teacher training does make a difference on pupil behavior in the classroom and on related teacher performance.

In general, the study of Sixth-Cycle Teacher Corps projects revealed a weak relationship between Teacher Corps program features and the teaching performance of Teacher Corps graduates. During the planning process for implementing strategies for the in-service training of teachers under P.L. 93-380, Title V, Section 511-514 it was suggested that the program plan and implement a process information system that would clarify this relationship and strengthen the efforts of future Teacher Corps projects (currently Cycle X). Efforts are currently underway to develop such a program process information system across the projects that have opted for one of five teacher training strategies or frameworks. The system will seek to: (1) describe the goals and operations of Teacher Corps projects starting with Cycle X; and (2) identify relationships among project goals, operations, and outcomes. The system is planned to generate common data about projects which may later be useful in relation to future summative evaluation.

Ongoing and Planned Evaluation Studies:

No

Source of Evaluation Data:

1. Annual operational data collected by the Teacher Corps Program.

2. United States Office of Education telephone survey of Teacher Corps graduates who completed programs in June 1972.

3. Assessment of the Teacher Corps Program -- Report to the Congress, The Comptroller General of the United States, July 14, 1972.

4. Full-Scale Implementation of a Process Evaluation System for Programs of the National Center for the Improvement of Educational Systems (formerly BEPD) by Resource Management Corporation, December 1, 1972.

5. Louisville, Kentucky Cycle V, Teacher Corps Project -- A Process Evaluation, June 1971.

6. A Study of Teacher Training at Sixth Cycle Teacher Corps Projects by Pacific Consultants (formerly Pacific Training and Technical Assistance Corporation).

7. Reform and Organizational Survival: The Teacher Corps as an Instrument of Educational Change by Ronald G. Corwin, John Wiley and Sons, 1973.

ANNUAL EVALUATION REPORT ON EDUCATIONAL PROGRAMS

Program Name:

Urban/Rural School Development Program

Legislation:

P.L. 90-35, 1967 Part D, Section 531
Education Professions Development Act

Expiration Date:

FY 1977

Funding History:	Year		Authorization	(Obligated) Appropriation
	1971		$ 90,000,000 (All of Part D)	$10,527,000
	1972		90,000,000 (All of Part D)	11,989,000
	1973	(Total EPDA-200,000,000 not less than 5% of which is for Part D)	200,000,000	10,297,000
	1974	(Total EPDA-	300,000,000	9,529,000
	1975	(Total EPDA-not less than 5% of which is for Part D)	450,000,000	6,355,000
	1976	(Total EPDA-not less than 5% of which is for Part D)	450,000,000	5,212,000
	1977		-0-	-0-

Program Goals and Objectives:

The Urban/Rural School Development Program is designed to bring about enriched learning environments in schools serving children in socially, culturally, and economically disadvantaged communities through training and retraining activities for teachers and other educational personnel presently employed in such schools.

In order that appropriate training programs might be provided, emphasis is placed upon the development within the school and community of continuous processes for identifying critical needs and assembling ideas, resources and strategies to meet those needs, and upon the development of improved decision-making capabilities in school and community personnel.

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As the program is developmental in nature and is presently in the fourth year of a five year cycle, it is not possible to report programmatic progress with any degree of certainty. However, it is possible to state that all projects within the program have been successful in building the policy making, planning and implementation structures and processes required for functional activity. An important factor affecting the ability of the Office of Education, Washington, to report quantitative results is the decentralized nature of the program characterized by a lack of authority on the part of the National Program Coordinator to make Regional Project Officers responsible for collecting and forwarding requisite project data from which such reports could be derived. Administrative steps have been taken to improve this situation.

Program Operations:

Operationally, the Urban/Rural School Development Program is unique. Within the framework of the total program, three distinct operational levels can be defined. First, at the national level, responsibility rests for program policy decisions, allocation of grant funds to regional offices and directing and monitoring the delivery of technical assistance services provided by the Leadership Training Institute operated out of Stanford University.

Second, responsibility for and monitoring of site-specific project activities is delegated to the regional offices and, by them, to regional project officers. Included within the authority of the regional project officers falls negotiation of individual project grants and decision-making control over project program efforts.

Third, and last, the program is based conceptually and operationally upon the notion that individual projects would exercise the right to determine how local needs could best be met through local decisions as to the nature of training offered. Such training to be carried out by institutions of higher education or other sources of expertise deemed adequate by the local project to achieve its goals. The planning and decision-making body at this level is composed of representatives of the schools and communities involved. Membership of these councils is apportioned on a parity basis between the schools and lay persons from the community.

Program Scope:

There are 30 current projects involving about 4,500 schools, staff and community members. Funds appropriated in fiscal year 1975, and expended during academic year 1975-1976 provided for continued developmental assistance to each of these sites. The bulk of these funds were expended to implement training programs developed from an assessment of local needs. Local project funds were supplemented by a grant made at the national level to the Stanford Urban/Rural Leadership Training Institute. The combined local and national funds were employed to provide both for the difficult and sensitive process of maintaining viable school-community councils. LTI funds were also expended in providing developmental assistance to individual sites on a site-specific basis and for higher level training in terms of site clusters characterized by relatively high degrees of similarities.

Individual project grants during FY 76 varied widely according to the size and scope of the various models. The following data presents a fairly accurate picture of the Urban/Rural Program from a national perspective:

(1) 25 grants were made to sites with regular Urban/Rural designs.

  (a) 11 of these sites are located in inner-city urban schools.

  (b) 14 of these sites are located in rural areas.

  (c) 3 of the sites serve predominantly Indian populations.

  (d) 3 of the urban sites serve populations characterized by almost equal proportions of Black and Spanish-speaking people.

  (e) 1 urban site serves a totally Spanish-speaking population.

  (f) 8 urban sites serve predominantly Black populations.

  (g) 1 rural site serves a predominantly Black population.

  (h) 4 rural sites serve Appalachian White populations.

  (i) 1 urban site serves a mixture of Latino, Black, Greek, and migrant Appalachian White populations.

  (j) 3 rural sites serve Chicano populations.

  (k) 1 rual site serves a large migrant agricultural population.

(2) 4 grants were made for Teacher Center activities supporting regular Urban/Rural Projects.

  (a) Rhode Island

  (b) West Virginia

  (c) Texas

  (d) California

(3) 1 grant was made to the University of New Mexico to support a Leadership Training Program operated by La Raza Unidas.

It should be noted that presentation of the national perspective does not take into account the unique ways in which individual sites have developed methods and programs specific local needs. To date, a reliable data bank which would reflect this fact is not available. However, the development of such a data bank is presently being undertaken by the Stanford Leadership Training Institute.

Program Effectiveness and Progress:

In 1972, the Resource Management Corporation conducted a process evaluation of 39 projects. The overall conclusion of this study is that the major goal of the Special Education program -- the training of teachers to teach handicapped children in regular classroom setting -- is being met by most of the projects studied. Academic and practicum training are directed to this end, emphasizing identification, diagnosis, and remediation for handicapped children. No major problem areas were cited by participants and there were no frequently mentioned suggestions for project improvement. Self-evaluation of projects is well underway, with most projects having established measurable objectives for the evaluation.

While each of the Urban/Rural projects is required to have an annual evaluation of its program, decentralization of the projects has caused extreme difficulties in terms of a national overview. Partly this situation results from failure to provide for adequate policy procedures which would allow O.E., Washington, to require full and appropriate project reporting from either the individual projects or from regional project officers. Partly it results from a lack of understanding of, or sympathy with, the Urban/Rural Program design and purpose that exists in the regional offices. In short, while clear lines of administrative policy have been established between O.E., Washington, and the regional offices, no procedures exist -- or, at best, very complex processes are available -- by which to ensure an integrated program policy approach through the nation. Since judgement of reliable program results can be assured only through knowledge that each part of the program conforms to the same policies, it is obvious that until the existing ambiguities between O.E., Washington, and the regional project officer roles have been eliminated, official judgement of program effectiveness must be suspect.

However, the fact of the existence and activities of the Stanford U/R Leadership Training Institute (LTI) obviates some of these difficulties, at least partially. That body, under the guidance and control of the national office provides a resource from which reliable and timely information and data regarding site activities can be obtained. It also provides an avenue through which unified program policies may be disseminated to the individual sites. Though as a pragmatic device such an arrangement is of great value, it certainly does not meet all requisite needs to assure site conformance to national program policy. First, because the LTI has no official government authority over project activities and, second, because LTI efforts may be easily circumvented by regional decisions.

Despite the dismal picture painted above, some positive statements can be made about the effectiveness of the Urban/Rural Program. Perhaps the most important positive accomplishment of the program to date can be seen in the development of the School-Community Council. Though the notion of councils attached to Federally financed efforts to improve the delivery of educational services represents very little by itself, the idea of a council functioning on a parity basis with the education establishment has proven to be a powerful force for initiation of change. In the case of the twenty-five regular urban/rural projects, evidence of this force is unevenly distributed. Results of its exercise also differ qualitatively. However, even superficial observation of the SCC's in action will show its unmistakable presence. Documentary evidence for its existence and impact will be available within the next year as results of completed studies of the Urban/Rural Program directed by Dr. Bruce Joyce of Stanford University. Preliminary findings indicate such -- only the question of degree of impact seems open yet.

Another area justifying positive reactions to the Urban/Rural effort can be found in methods by which training needs are determined and met. Since training within a project must be related to identified needs, at least two dynamics are set in motion. First, that of demonstrating that need is related to lack of training. Second, the necessity for designing training programs that are direct responses to revealed needs. Though there remains much to be discovered about the functions and relations of these two dynamics, it is now possible to discuss instances where interaction between them has produced new and effective approaches to inservice training efforts. One of the more interesting examples of an outcome of this interaction can be seen in the "Resident Professor" concept.

Many sites have begun to follow the procedure of bringing outside expertise, from IHE's or other sources, into the local arena for purposes of both diagnosing factors contributing to an identified need and designing site-specific training programs to remedy such defects. Further, those who perform the diagnostic and design function are also those who carry out the training program. The potential impact of this procedure upon teacher-training as it is most commonly practiced can hardly be overstated.

Among many other possible areas important to the solution of educational deficiencies characteristic of disadvantaged communities is the area of communications between the schools and those the schools should serve. The Urban/Rural Program design can be shown as having a very definite positive impact here. There is no need to rehash the horror stories of the ugly conflicts between school boards and teachers; between schools and communities; between school officials and parents; between students and teachers; etc.; etc.; which have filled our streets with angry mobs -- which have resulted in strikes, damage to schools, injury to individuals, and, perhaps most importantly, the erosion of public faith in the capabilities of the school as a major institution through which the youth of the nation are assisted in their struggle to become productive and valuable citizens. School Boards and Superintendents have had notoriously little success in keeping such conflicts from the streets. However, it is possible now to look back upon the history of the past four years of school systems in which the Urban/Rural Program has been operative and, from that history, draw several potentially dramatic conclusions. It is important to remember that Urban/Rural Schools generally were selected from environments most often affected by such activities. The most striking fact related to the above is that during the lifespan of the Urban/Rural experience, there have been no disruption of educational activities within the urban/rural target schools except for the recent strike affecting all New York City Schools. Morale in participating schools appears to be consistently high. Involvement of both school and community personnel has been remarkably constant. School discipline problems have diminished noticeably. For the most part, individuals serving on the School-Community Councils have viewed their participation as being important and have given much time and effort to the work of those bodies. It appears that a reasonably sound, but as yet tentative, conclusion would be that the SCC's offer both a viable means through which educational defects may be attacked and that the specific task orientation of the group, with its mix of major role group representation, provides a forum through which many potential conflicts can be defused.

To end this presentation at this point presents an alluring temptation. However, tempting though it is, such a procedure would distort the true nature of the Urban/Rural effort. No person possessing even a modicum of knowledge of the current education scene could believe that the Urban/Rural School Development Program provides the total answer to qualitative improvement of the American schools. What, then, are some of the negative lessons that have been learned during the course of its development?

First among these lessons is that the difficulty of providing hard data to show that specific inservice training has a direct cause and effect relation to student achievement was seriously underestimated. It is now quite clear that more time shall be required to test that relationship with any degree of accuracy.

Secondly, the original conceptualization of the Urban/Rural Program failed to recognize sufficiently the complexities of political and economic factors that have proven to be extremely difficult to manage in terms of giving specific developmental assistance to local projects. This failure has caused much confusion and may eventually (though some attempt to bring greater awareness of the importance of these factors and their impact upon local efforts is now a part of the program design) result in realizing less success than had been anticipated.

Thirdly, it is now understood, but only after a rather lengthy period of frustration, that the importance of the "parity" concept was central to the successful creation and operations of the School-Community Councils. Much effort was expended to provide for structural parity between role-groups represented in that group. Realization of the greater necessity for what can be defined as "procedural" parity has only been recognized as the real problem and the search for ways to cope with parity in this has only begun.

Finally, full understanding of the nature and causes of the general lack of interest on the part of the tax-paying public and the existence of apparent parental apathy in terms of achievement levels of students remain as significant problems to be overcome.

In conclusion, it must be emphasized that this discussion undertook to present a balanced view of the design of Urban/Rural School Development Program; of what has been the foci of its efforts; of major accomplishments and deficiencies; and, finally, to provide the reader with sufficient information on which to judge for himself its value or lack of value.

On-going and Planned Evaluation Studies:

No projected studies are currently planned for this area. There are no major studies underway; nevertheless, each project is required to have an internal evaluation component.

Sources of Evaluation Data:

1. Annual programs data.
2. National and Regional Conferences.
3. Reports from the Stanford Urban/Rural School Development Program, Leadership Training Institute.
4. Annual review by the University of Minnesota Leadership Training Institute.
5. Meetings and discussions with Regional Project Officers.
6. Program Officer site visits.
7. Process Evaluation of the Programs of the Bureau of Educational Personnel Development, December 1972 by Resource Management Corporation.
8. The Urban/Rural School Development Program: An Examination of a Federal Model for Achieving Parity Between Schools and Communities. Terry, James V. and Hess, Robert D. -- January 1975.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Vocational Education Personnel Development Program

Legislation:	Expiration Date:
Education Professions Development Act (P.L. 90-35), Part F; enacted October 16, 1968 as Title II of the Vocational Education Amendments of 1968 (P.L. 90-567); and amended as the Part F amendment of EPDA. (Note: EPDA is forwarded funded.)	September 30, 1977

Funding History:	Year	Authorization	Appropriation
	1970	$ 35,000,000 (Part F, only)	$ 5,678,330 (including $480,541 under EPDA, Part D)
	1971	40,000,000 (Part F, only)	6,757,000
	1972	45,000,000	6,905-130 (including $155,000 under EPDA, Part D)
	1973	(not less than 10% of total EPDA appropriation)	11,860,000
	1974	(not less than 10% of total EPDA Appropriation)	11,268,000
	1975	(not less than 10% of total EPDA appropriation)	9,000,000
	1976	(automatic extension Ed. Amendments 74)	10,000,000
	1977	Ed. Amendments 1976 P.L. 94-482, Title II, Sec. 201	10,000,000

Program Goals and Objectives:

The broad program goal of the Vocational Education Personnel Development Program is to encourage the 56 State boards for vocational education, through the funding strategies of two operational programs, to systematically assess their needs for leadership and personnel development, identify individuals with leadership potential and institutions capable of developing leadership skills, design high quality training activities to meet the personnel development needs, and develop a real commitment to a responsibility for coordinating a statewide subsystem for personnel development. The two operational programs are authorized by Section 552 (Leadership Development Program - FAC 13.503) and by Section 553 (State Systems Program - FAC 13.504) of Part F, EPDA. Section 554 or Part F does not authorize an operational program, but is a charge to both operational programs to give "special consideration (to funding) programs which are designed to familiarize teachers with new curricular materials in vocational education."

Section 552 of Part F has a legislative purpose which requires that the Leadership Development Program be designed to meet the needs of all 56 State boards for highly qualified vocational education personnel to exercise effective leadership. The specific objective for FY 1976 was to provide stipends for 250 qualified individuals to attend approved one-year, graduate level, comprehensive vocational education leadership development programs. To accomplish this goal the 56 State Boards for vocational education identify and nominate individuals who have the potential for fulfilling the leadership needs identified by each State board. The outcome expected is that all of the individuals exiting from the program will assume new vocational education leadership positions or exercise a greater degree of leadership in the position to which they return.

The primary concern of the FY 1976 operational year was the identification of individuals with potential for leadership and approval of graduate programs of institutions. Approval of institutional applications is non-competitive.

Section 553 of Part F gives legislative authority for paying the cost of cooperative arrangement training activities for vocational education personnel focused on "strengthening vocational education programs and the administration of schools offering vocational education". The overall goal of the Section 553 program is to assist each State board in the development and operation of a subsystem for personnel development which is oriented to management by objectives at State, local and institutional levels and to fund training activities which would make such a system operational and/or meet personnel development needs for which there are no other funds available. The Section 553 legislation encompasses almost any kind of training activity at any educational level affecting vocational education for periods of time ranging from one-day conferences to intensive training programs or internships one-year (or more) in length as long as such activities are "designed to improve the qualifications of persons entering and re-entering the field of vocational education ... (and) are part of a continuing program of inservice or preservice training".

The specific operational objective for FY 1976 was to assist the 56 State boards to improve the quality and effectiveness of the cooperative arrangements, approved through an intensive, competitive review process in each of the ten OE Regional offices, though staff development, State coordination and monitoring training activities. Another objective was to encourage State boards in the development of a limited number of training activities designed to meet specific unmet personnel development needs identified as National and Regional in scope.

Program Operations:

Section 552: In this centralized program the grantees (the approved institutions) are responsible for offering the program described in the application, for paying stipends and dependency allowances to the individual awardees and for submitting interim and final fiscal and programmatic reports of the accomplishments of the project. The institutions must provide evidence, as stated in the regulations, that the program includes a focus on career education; training in leadership skills necessary to increase the participation of the handicapped and disadvantaged, minority groups and females, administrative and programmatic flexibility for individualizing the program; practicum and internship components; and the development of individual competencies related to behavioral objectives. The individual awards are allocated to each State and territory through an equitable distribution formula computed by NCES.

Section 553: In this decentralized program the Regional Offices are responsible for receiving and approving applications, negotiating applications, issuing grant awards and monitoring funded projects. Responsibility for National coordination is the role of the Central Office. The State boards for vocational education, the only eligible applicants, submit a plan of action based on the approved State Plan which has one or more applications for funding cooperative arrangement projects. In addition, the Central Office identifies a limited number of National priority personnel development needs. Any project submitted by a State addressed to one of these priorities is forwarded by the Regional Office for review by a Nationally constituted review panel in competition with all other such projects submitted by any other State. The Regional Offices also identify priorities of Regional importance which are reviewed competitively in that Region.

Both the Section 552 and 553 programs have training and information sessions which involve Central Office staff, Regional Project Officers, Section 552 project directors and Section 553 State Coordinators.

Program Scope:

During FY 1976 $2,400,000 was allocated to the Section 552 program. There were 250 awardees participating in projects at 33 institutions of higher education. The program stressed increasing leadership capabilities in local education agencies, State departments of education, institutions of higher education and other agencies.

The Section 553 program was allocated $6,600,000. The 56 State received grant awards encompassing 274 State projects, 15 regional projects and 17 National projects. The number of individuals who benefitted from the training was 54,018. The State projects are focused on State Personnel Development needs identified in an approved State Plan for Vocational Education. Regional projects are focused on Regional personnel development needs identified as a priority for the States in each of the 10 OE Regions. National projects are focused on National personnel development needs approved by the Central Office as priorities for the Nation. The primary target groups of the training activities were teacher educators, State staff, and administrative and supervisory personnel.

Program Effectiveness and Progress:

The systematic assessment of leadership and personnel development needs is one of the most difficult goals to achieve. However, between FY 1970 and the termination of the FY 1976 operational year, such a systematic assessment had been completed by over 30 States. All State boards nominated individuals for FY 1976 Section 552 awards and some thirty State boards identified institutions with the capability to conduct leadership programs at the graduate level. Less than 70 percent of the cooperative arrangements submitted by State boards to the ten Regional offices were approved. In addition, the Regional offices and the Central office jointly monitored many of the projects funded and together reviewed the objectives of all projects jointly with the coordinators in a training session designed to improve program quality. Since funds supporting the FY 1976 programs did not terminate in the Section 552 projects until August 1976 and as late as December 1976 in the Section 553 grants, complete data are not available as to the effectiveness of this funding. Nonetheless, joint monitoring by the Regional and Central staff and individual project evaluations indicate continued improvement in program quality.

The primary evaluative information on either Section 552 or Section 553 is subjective based on observation site-visits, reactions of State directors, and opinions of experts in the field. As a part of the OE strategy of 1977, the subsystem for personnel development in selected States will be reviewed by BOAE Regional and Central staff, other than VEPD staff, which is expected to increase our knowledge of program effectiveness.

Ongoing and Planned Evaluation Studies:

1. Lessons Learned from EPDA, Part F; Phyllis Hamilton; Stanford Research Institute; component of document to be published in early 1977.
2. Impact of Section 553 Funding on Thirteen States, 1970-1974; John Coster, Center for Occupational Education, North Carolina State University.
3. Impact of Section 553 Funds on Fourteen other States, 1971-1975; John Coster, Center for Occupational Education, North Carolina State University.

Sources of Evaluation Data:

Commissioner's Report to Congress on the Education Professions for 1974 on Vocational Education Personnel Development; Phyllis Hamilton; Stanford Research Institute.

Section 552 final project reports on file in VEPD

Section 553 final project reports considered exemplary by Regional offices and on file in VEPD.

Monitoring and site-visit reports on file in VEPD.

Vocational Education Personnel Development, List of Charts and Tables.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Public Library Services

Legislation:

Library Services and Construction Act, Title I, as amended by P.L. 91-600 (and Title IV-A and IV-B to 1972) and further amended by P.L. 93-380

Expiration Date:

FY 1976[1]

Funding History:	Year	Authorization	Appropriation
Beginning in 1972, State Institutionalized Services (Title IV-A) and Services to the Physically Handicapped (Title IV-B) were combined under Title I.	1965	Indefinite	$ 25,000,000
	1966	"	25,000,000
	1967	$ 35,000,000	35,000,000
	1968	45,000,000	35,000,000
	1969	55,000,000	35,000,000
	1970	65,000,000	29,750,000
	1971	75,000,000	35,000,000
	1972	112,000,000	46,568,500
	1973	117,600,000	62,000,000[2]
	1974	123,500,000	44,155,500
	1975	129,675,000	49,155,000
	1976	137,150,000	49,155,000
	Transition Quarter		12,289,000
	1977	137,150,000	56,900,000
(Old Title IV-A)	1967	5,000,000	350,000
	1968	7,500,000	2,014,000
	1969	10,000,000	2,094,000
	1970	12,500,000	2,094,000
	1971	15,000,000	2,094,000
	1972	See above	See above
(Old Title IV-B)	1967	3,000,000	250,000
	1968	4,000,000	1,254,000
	1969	5,000,000	1,334,000
	1970	6,000,000	1,334,000
	1971	7,000,000	1,334,000
	1972	See above	See above

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[1] Extended 1 year through GEPA.

[2] $32,000,000 of the 1973 appropriation was impounded and not released until FY 1974.

Program Goals and Objectives:

The legislative purpose of the program is to provide support to States: to assist them in providing library services to areas without such services or areas with inadequate services; to assist in improving quality of information services including services to specialized groups such as the disadvantaged, bilingual, the physically handicapped, and those in State public institutions; to strengthen metropolitan public libraries which serve as national or regional resource centers; and to plan programs and projects to extend and improve services. Funds may also be used to strengthen the capacity of the State library administrative agencies to serve the people, and for administrative costs for all Library Services and Construction Act programs.

Program Operations:

LSCA, Title I allots funds to the States by grants on a formula matching basis. Each State received a base of $200,000 with the remaining amount allocated by population. The Federal share ranges from 33 percent to 66 percent, except for the Trust Territories, which are 100 percent Federally funded. States must match in proportion to their per capita income and maintain the level of expenditures of the second preceding year. They must also maintain the same level of fiscal effort for handicapped and institutionalized library service that existed prior to the combination of these programs under the FY 1971 level.

Program Scope:

1. Federal dollars appropriated (1956-76)	$497,225,000
2. State and local matching dollars (1956-76)	over $2 billion

Estimated FY 76 data for this program are as follows:

3. Population with access to LSCA services	92,000,000
4. Disadvantaged persons with access to LSCA	29,000,000
5. Number of State institutionalized persons served by LSCA	800,000
6. Number of handicapped persons served by LSCA	480,000

In 1956 at the beginning of this program 23 States had programs for Statewide public library development with expenditures under these programs amounting to $5 million. With the incentive of LSCA, there are now 38 States with grant-in-aid programs, with annual appropriations exceeding $100 million.

Program Effectiveness and Progress:

Federal assistance has stimulated the expansion and improvement of library services throughout the country to the extent that, today, about 94 percent of the population has access to some form of public library services. Current reports indicated that 60 percent of the LSCA expenditures have gone to projects with designated disadvantaged priorities.

The first study of the impact of Title I services, covering the period from 1964 to 1968, was made by the System Development Corporation, Santa Monica (SDC). In reviewing the LSCA activities in 11 States it found that most projects felt handicapped by: lack of manpower; lack of coordination among public libraries and other educational agencies; need for research in determining whether disadvantaged projects were reaching their goals; lack of understanding on the part of the public library's potential and actual services; lack of ability of libraries to react quickly to public demands for more services; and lack of suitable measurements of library performance.

The Behavioral Science Corporation, Washington, D.C. conducted a study to evaluate public library service to disadvantaged people in selected cities. These projects were not limited, however, to Title I projects. This pilot study of 15 local library projects serving urban disadvantaged people utilizing user and non-user interviews for evaluation, recommended that libraries find better ways to coordinate with schools when dealing with disadvantaged children. The successful programs were characterized by some or all of the following features: active participation by the target group; emphasis on audio-visual rather than print materials; and provided significant service in the community.

Another major evaluation study was conducted by SDC to determine how the Library Service and Construction Act, Titles I and II is meeting the public library needs of special clientele groups, e.g., disadvantaged, ethnic minorities, handicapped, and institutionalized persons. This evaluation project surveyed all State Library Agencies, all known ongoing projects directed toward these groups, and discontinued projects. This study provides an inventory of projects, a needs assessment, and recommendations for program change. Over 1,600 projects were identified and queried. It was found that many projects classified as discontinued (due to the loss of LSCA funds) were nevertheless operational because of funds received from State or local agencies. A methodology specifying criteria to adjudge program effectiveness was developed, and was tested and validated with the projects in the study.

The report concluded:

> "It is evident from the data gathered in this project that LSCA projects directed toward special clientele have been successful, to some extent. More projects are successful than unsuccessful, and fairly significant numbers of special clientele groups have been reached. It is also evident that some projects are far from successful. Many important needs are not being met, or barely being met, even by projects judged successful...

> "In many States it was evident that were federal funds not available, there would be no projects whatsoever for special clientele. Indeed, in one State plan that was examined the statement was made that, while there were special clientele in the State, no projects need be directed towards them because the state intended to give service to all of its citizens on an equal basis: That naive attitude represents -- all too frequently -- the lack of knowledge and concern that exists at many levels of state and local government. Special clientele frequently need to be educated to become users, and persuaded that the library has something of value for them. LSCA funds have been a critical factor in projects for special clientele, and they have provided the bulk of the funds being used for innovative projects; without LSCA (or a real substitute) there would be little or no innovation -- in short, a rather static, even moribund public library in the U.S."

A subsequent major study of "The Public Library and Federal Policy," performed by SDC assessed the current total national public library situation utilizing existing data and included recommendations for further data collection efforts in areas of current information deficiencies.

The final report stated,

> "In this study we examined the past and present status of the public library and likely directions for the future. Based upon our examination of the public library as an information-providing institution, and our certainty that free access to all kinds of information is a requirement of a democratic society and a necessity for individual well being..../it was found that/

> "The Federal government has played a role in recent years of helping the public library to organize into systems and to provide services to segments of the population who were previously unserved. While there are indications that Federal programs suffered from insufficient coordination, insufficient evaluation, and inadequate funding, there is much evidence to demonstrate that a strong impetus toward system organization and the provision of services to special clientele were provided by Federal intervention."

Ongoing and Planned Evaluation Studies:

None

Sources of Evaluation Data:

1. Overview of LSCA Title I, by System Development Corporation, published by Bowker, 1968.

2. A Study of Public Library Service to the Disadvantaged in Selected Cities, by Claire Lipsman and contracted to Behaviors Science Corporation, 1970.
3. Study of Exemplary Public Library Reading and Reading Related Programs for Children, Youth and Adults, by Barss, Reitzel & Assoc., Inc., 1972.
4. Basic Issues in the Government Financing of Public Library Services, Government Studies and Systems, May 1973.
5. Evaluation of LSCA Services to Special Target Groups, by System Development Corporation, July 1973.
6. The Public Library and Federal Policy -- by System Development Corporation, July 1973.
7. Various Library Demonstration Projects: These projects are designed to survey and analyze the public library and information services to the American Indian, the aging, and the information needs of the rural and urban poor.
8. Program Operational Data.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Interlibrary Cooperative Services

Legislation

Library Services and Construction Act, Title III, as amended by P.L. 91-600

Expiration Date:

FY 1976 2/

Funding History

Year	Authorization	Appropriation
1967	$ 5,000,000	$ 375,000
1968	7,500,000	2,256,000
1969	10,000,000	2,281,000
1970	12,500,000	2,281,000
1971	15,000,000	2,281,000
1972	15,000,000	2,640,500
1973	15,750,000	7,500,000 1/
1974	16,500,000	2,593,500
1975	17,300,000	2,594,000
1976	18,200,000	2,594,000
Transition Quarter		648,000
1977	18,200,000	3,337,000

Program Goals and Objectives:

The legislative purpose of the program is to establish and maintain local, regional, State or interstate cooperative networks of libraries and for the coordination of informational services of school, public, academic, and special libraries and information centers, permitting the user of any one type of library to draw on all libraries and information centers. The participation of one other type of library other than a public library is required for such service programs.

Program Operations:

The Library Service and Construction Act (LSCA), Title III allocates funds to the States on a formula basis. Each State receives a sum in the amount of $40,000, and the remainder is allocated by population formula. The State library agency must submit its Annual Program Plan (proposed expenditures of funds) before it can receive its allocation. Title III is a 100% Federally funded program.

1/ $4,770,000 of FY 73 appropriation was impounded until FY 74. Actual FY 73 obligations were $2,730,000.

2/ Extended 1 year through GEPA.

Program Scope:

The FY 75 appropriation provided support for cooperative networks involving the sharing of resources among 7,575 libraries of at least two or more of the following four types (school, academic, public, or special). Based on the Annual Reports for FY 75, the table indicates how FY 75 Federal and local funds were spent.

Category	No. of States Reporting	% of Total Expenditures
1. Communications Networks	32	25
2. Bibliographic Service	30	20
3. Technical Processing Service	12	15
4. Reference Service	22	12
5. Others	24	28

Program Effectiveness and Progress

Program Operational Data indicates that participation by all types of libraries in telecommunications or information processing systems has increased. Also, planning within States as well as multi-State planning for coordination of library services is increasing. The Nation's libraries, involved in cooperative projects of library and information service, have successfully proven the value of cooperative local, State and regional projects and networks in increasing services to their clientele and in terms of cost effectiveness.

Ongoing and Planned Evaluation Studies:

Applied Management Sciences, Silver Spring, Maryland, is conducting a study of Library Cooperatives, Networks, and Demonstration Projects.

Source of Evaluation Data:

Program operational data.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

College Library Resources

Legislation:	Expiration Date
Higher Education Act of 1965, Title II-A	1979

Funding History	Year	Authorization	Appropriation
	1966	$50,000,000	$10,000,000
	1967	50,000,000	25,000,000
	1968	50,000,000	24,522,000
	1969	25,000,000	25,000,000
	1970	75,000,000	9,816,000
	1971	90,000,000	9,900,000
	1972	18,000,000	11,000,000
	1973	75,000,000 (II-A&B)	12,500,000
	1974	85,000,000 (II-A&B)	9,975,000
	1975	100,000,000 (II-A&B)	9,975,000
	1976	100,000,000 (II-A&B)	9,975,000
	1977	110,000,000 (II-A&B)	Not yet enacted

Program Goals and Objectives:

The legislation provides grants to eligible institutions[1/] to assist and encourage them in the acquisition of library resources including law library resources, such as books, periodicals, documents, magnetic tapes, phonograph records, audiovisual materials and other related materials (including necessary binding).

Program Operation:

Three types of grants can be awarded to eligible institutions of higher education: (1) Basic grants of up to $5,000, provided that the applicant expends at least the same amount from institutional funds for library resources; (2) Supplemental grants of up to $20 per student, provided that the applicant meets the eligibility terms for a Basic grant; and (3) Special Purpose grants, unrestricted as to the amount requested but which must be matched with $1 of institutional funds for library resources

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[1/] For the purpose of this Act eligible institutions are defined as institutions of higher education and other public and private non-profit library institutions whose primary function is the provision of library services to institutions of higher education on a formal cooperative basis.

for every $3 of Federal funds requested. For both the Basic and Special Purpose grant categories, applicants must meet maintenance-of-effort requirements in two areas--total library purposes and library resources--as follows: in the fiscal year of application, the applicant must expend, or plan to expend, an amount equal to or in excess of the average of the two fiscal years preceding the year of application for total library purposes; in the year of application, the applicant must expend, or plan to expend, an amount equal to or in excess of the average of the two fiscal years preceding the year of application for library resources. Under certain circumstances, a waiver may be granted from maintenance-of-effort requirements. In the case of Special Purpose grants, the matching share must be in addition to the base two-year average for library resources institutional expenditures.

Program Scope and Effectiveness:

In FY 71-72, all grant funds were concentrated on neediest institutions, on the basis of recommendations made by staff and the Commissioner's Advisory Council on Library Training. This approach was predicated on data indicating that most junior colleges and many urban institutions were far below national standards. However, the Education Amendments of 1972 prescribed that basic grants were to be awarded to all eligible institutions, first.

In recent years priority among these institutions has been given to the purchase of urban studies, ethnic studies and career education materials. In FY 75 approximately 120 predominately black institutions were recipients of II-A grants.

In fiscal year 1976, 2,486 basic grants were made at $3,930 each and 74 grants averaging $2,498 each. A breakdown of types of materials purchased with this program's support indicated that 75% of the funds were used for acquisition of printed materials (books, magazines, pamphlets, etc.) and the remaining 25% for the non-print materials (films, filmstrips, recordings, tapes, microfiche, etc.)

Grants by type of institutions are:

FY 76	Number of Institutions
Two year institutions	915
Four year colleges	735
Universities	920
TOTAL	2,570

Ongoing and Planned Evaluation Studies:

None

Sources of Evaluation Data:

Program operational data

ANNUAL EVALUATION REPORT ON
EDUCATION PROGRAMS

Program Name:

Library Career Training

Legislation: | **Expiration Date:**

Higher Education Act of 1965, Title II-B | FY 1979

Funding History	Year	Authorization	Appropriation
	1966	$15,000,000	$1,000,000
	1967	15,000,000	3,750,000
	1968	15,000,000	8,250,000
	1969	11,000,000	8,250,000
	1970	28,000,000	4,000,000
	1971	38,000,000	3,900,000
	1972	12,000,000	2,000,000
	1973	(See HEA II-A	3,572,000
	1974	College Library	2,850,000
	1975	Resources	2,000,000
	1976	Authorization)	500,000
	1977		Not yet enacted

Goals and Objectives:

The purpose of this program is to respond to the increasing need for professional personnel and the acute shortage of paraprofessionals, focusing on the recruitment of minority groups including women to serve in all types of libraries. Another thrust is the retraining of professional librarians and allied personnel in those new and developing areas (e.g., networking, service to the special clientele, middle management, and media utilization, etc.) to make those in the field more responsive to user needs. The fellowship program is directed at upgrading the skills of minorities, including women, by obtaining the capabilities needed to assume high level positions in library supervision, administration, and leadership.

Program Operations:

This program provides grants to institutions of higher education to support training and retraining of librarians and information scientists including paraprofessionals, for service in all types of libraries and information centers. Professional training is accomplished through short and long-term institutes, traineeships, and pre- and post-baccalaureate fellowships.

The Education Amendments of 1972, effective with FY 73 program operations, required that at least 50% of all program funds were to be used to support academic fellowships and traineeships. Also, other library agencies and associations are now eligible to submit proposals for consideration.

Program Scope:

The Fiscal Year 1976 appropriation of $500,000 provided for the training of 51 fellows or trainees, and 120 librarian institute participants at all levels.

Nearly $15,600,000 has been used to support the training of 12,777 library professionals and paraprofessionals in short and long-term institutes since 1966. Over $23,000,000 has been used to award 3,259 graduate fellowships during this period. In 1975, 67% of the fellowship awards made by training institutions were to ethnic minorities.

Program Effectiveness and Progress:

Two formal evaluation studies of this program have been made. The first in FY 1969 by the Bureau of Social Science Research, Washington, D.C. was restricted to the fellowship program. It was found at that time that all three types of graduate support (the masters, postmasters and Ph.D. programs) were accomplishing their intended goals of upgrading and increasing the supply of librarians; however, the study indicated that the masters program was most effective out of the three studied for bringing in new personnel to library areas outside the academic library field. The second study was performed by Rutgers University, New Brunswick, New Jersey and examined the institute program. Interviews were conducted with institute directors, Regional Program Officers, and the staff from the library bureau. It was found that the area of greatest institute impact is in the area of school media personnel (a specialist who integrates print and non-print resources with the formal learning experience).

Ongoing and Planned Evaluation Studies:

None

Sources of Evaluation Data:

Overview of the Library Fellowship Program, by the Bureau of Social Science Research, Inc. of Washington, D.C., 1970.

Data Collection and Description of HEA Title II-B Institutes, by Rutgers, New Brunswick, New Jersey, 1972.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Library Demonstrations

Legislation:	Expiration Date:
Higher Education Act of 1965, Title II-B	FY 1979

Funding History	Year	Authorization	Appropriation
	1967	(See Library Career	$3,550,000
	1968	Training Authorization)	3,550,000
	1969		3,000,000
	1970		2,171,000
	1971		2,171,000
	1972		2,000,000
	1973	(See HEA-IIA College	1,785,000
	1974	Library Resource	1,425,000
	1975	Authorization)	1,000,000
	1976		1,000,000
	1977		Not yet enacted

Program Goals and Objectives:

According to the legislation, the purpose of the program is to provide support for research and demonstration projects for the development of new techniques and systems for processing, storing, and distributing information, and for the dissemination of information derived from such projects.

Program Operations:

USOE makes discretionary grants and contracts to public and private organizations and agencies including institutions of higher education.

The following are descriptions of areas of need either currently addressed or funded under an expanded demonstration program:

1. Institutional cooperation: (cooperation between academic, public and special libraries and other institutions, e.g., museums, community colleges, etc.)

2. Networking (more efficient typology, dealing with legal, technical, psychological, and other barriers which currently impede effective implementation.)

3. Improvement of library efficiency and general service development (software, hardware and organizational methods) to provide better user service.
4. Improving training in librarianship and in new technologies to provide better user service.
5. Service development to special target groups (aging, poor, ethnic, minority, rural, etc.)

Program Scope:

In Fiscal Year 1976, this program supported 19 projects promoting (1) institutional cooperation emphasizing service to special target groups (6); (2) more efficient use of library systems (6); (3) the improvement in training for library related careers (3); (4) needs assessments in libraries and information science (2); and (5) the planning and research in this field (2).

Program Effectiveness and Progress:

Since 1967, $20.5 million has been used for research and demonstrations relating to the improvement of library services. Present program focus is to move away from technical research and toward demonstrating patterns of interagency cooperation to provide better services to special groups.

Ongoing and Planned Evaluation Studies:

Applied Management Sciences, Silver Spring, Maryland, is conducting a study of Library Cooperative Networks, and Demonstration Projects.

Source of Evaluation Data:

Program Operational Data

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Undergraduate Instructional Equipment

Legislation:

Higher Education Act of 1965, Title VI-A

Expiration Date:

FY 1979

Funding History	Year	Authorization	Appropriation
	1966	$37,500,000	$15,000,000
	1967	60,000,000	14,500,000
	1968	70,000,000	14,500,000
	1969	14,500,000	14,500,000
	1970	70,000,000	-0-
	1971	70,000,000	7,000,000
	1972	70,000,000	12,500,000
	1973	70,000,000	12,500,000
	1974	70,000,000	11,875,000
	1975	70,000,000	7,500,000
	1976	70,000,000	7,500,000
	1977	70,000,000	Not yet enacted

Program Goals and Objectives:

The legislative objective of this program is to assist undergraduate programs to improve the quality of their instructional equipment (including closed circuit television) and to assist in remodeling associated with the installation of such equipment.

Program Operations:

Program funds are allotted by formula to the States based on State per capita income and enrollment in institutions of higher education within the State. State commissions, broadly representative of higher education in the State, develop their own plan, establish priorities, criteria, set deadlines, conduct workshops, work directly with institutions in preparing the proposals, review proposals and assign them priority ranking for funding. USOE makes final approval of grants and, in cooperation with State commissions, handles administration, including closeouts.

This program provides funds on a matching basis (States' average must equal 50%) for acquisition in 2 categories: Category I, Instructional equipment materials, and minor remodeling; Category II, Closed circuit television equipment, materials, related remodeling. Separate State allotments are made for each category.

Program Scope:

In Fiscal Year 1976, 776 institutions were awarded grants. Seventy-five percent of the recipients were public institutions and 25 percent were private higher education institutions. Seventy-eight percent of the appropriation supported Category I materials and twenty-two percent supported Category II equipment.

Program Effectiveness and Progress:

Approximately $117.4 million has been allotted since 1966 to academic institutions for the purchase of general instructional equipment, closed circuit television equipment and some minor remodeling accompanying these purposes. Particularly significant is the climbing rate of expenditures for CCTV: 1966-1975 - 12 percent; 1975 - 19 percent; 1976 - 22 percent.

Ongoing and Planned Evaluation Studies:

None

Sources of Evaluation Data:

Program operating data

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Educational Broadcasting Facilities

Legislation: — **Expiration Date:**

Communications Act of 1934, as amended
Title III, Part IV — FY 1977

Funding History:	Year	Authorization	Appropriation
	1965	$ 32,000,000	$ 13,000,000
	1966	for 5-year	8,826,000
	1967	period 63-67	3,304,000*
	1968	10,500,000	-0-
	1969	12,500,000	4,000,000
	1970	15,000,000	4,321,000
	1971	15,000,000	11,000,000
	1972	15,000,000	13,000,000
	1973	25,000,000	13,000,000
	1974	25,000,000	15,675,000
	1975	30,000,000	12,000,000
	1976	30,000,000	12,500,000
	1977	30,000,000	15,000,000[1]

*remaining amount available of $32 million authorization.

Program Goals and Objectives:

The legislative purpose of the program is to provide support, through matching grants (75 percent of the cost of eligible items necessary to the project), for the acquisition and installation of transmission apparatus required by noncommercial broadcasting stations to meet educational, cultural, and information needs of Americans, both in homes and schools.

The program goals and criteria stipulated in the legislation (Sec. 390 and 392 Sec. 6(d) (1)(A)(B)(C) and (2)(A)(B) and (C) are: 1) extend noncommercial broadcast services, with due consideration to equitable geographic coverage through the United States; 2) strengthen the capability of existing noncommercial broadcast facilities to broaden educational uses. In order to achieve these objectives, the program stimulates the growth of noncommercial broadcast stations technically capable of providing adequate program services to communities; and 3) also encourages Statewide and regional planning and coordination of telecommunications capabilities to utilize fully the potential of public broadcast systems.

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[1] $14 million represents the FY 1977 appropriation for the operation of the broadcast facilities program at USOE. The additional one million dollars is for funding non-broadcast demonstration projects and is administered by the Office of Telecommunication Policy, Assistant Secretary for Planning and Evaluation (Sec. 392A).

Program Operations:

Upon receipt of applications, USOE awards grants consistent with achieving the goals and objectives of the program. Under existing legislation eligible grantees include: the agency responsible for public education within a State or political subdivision, the State educational television and/or radio agency, a public or private nonprofit college or university, or other educational or cultural institution affiliated with an eligible college or university, a nonprofit entity organized primarily to operate an educational television or radio station, and a municipality which owns or operates a facility used only for noncommercial educational broadcasting.

Noncommercial broadcasting serves the public interest by providing additional educational opportunities for preschool, school-age children, and for adults. About 40 percent of noncommercial television time is devoted to instructional programming to enrich teaching in the classroom.

Local public radio and television stations are also being called upon to use the broadcast medium to focus on matters of national concern such as nutrition and health, the environment, energy concerns, consumer services, drug abuse, and mental health. In addition they are producing programs dealing with issues such as unemployment, welfare, law enforcement and other local concerns.

Program Scope:

In Fiscal Year 1976, 73 noncommercial Educational Radio (ER) and Educational Television (ETV) stations received grant support under this program. Forty-three grants were for ETV: 6 grants for new activations and 37 grants for expansion and improvement of existing facilities. The remaining 30 grants were made to ER stations and represented 9 new starts and 21 grants for upgrading existing facilities. The total number of noncommercial television stations on the air or under construction increased from 76 in 1963 to 268 by the end of FY 1976. During this same period 290 matching grants were awarded to existing stations to improve or expand their facilities.

The number of full-service public radio stations in the country has increased from 67 in 1969, when Federal assistance to noncommercial radio stations was first made available, to 173 on-the-air or under construction at the end of FY 1976. One hundred and nineteen grants were awarded to existing radio stations to expand and/or improve their facilities.

Program Effectiveness and Progress:

The 1962 authorizing legislation provided for matching grants to help local communities develop noncommercial television broadcast facilities to serve the educational, cultural, and informational needs of Americans in their homes and schools. The Public Broadcasting Act of 1967 extended the enabling legislation and included radio stations as eligible for Federal assistance. A Congressional Declaration of Policy issued with the passage of the 1967 Act stated: "It is necessary and appropriate ... to support a national policy that will most effectively make noncommercial educational radio and television service available to all citizens of the United States."

By 1976, 268 (104 VHF/164UHF) of the 666 television channels reserved for noncommercial purposes were being utilized. The on-air stations, when fully activated, will be able to reach up to 80 percent of the U.S. population. For the following reasons it is estimated that only 65 percent of the "potential" viewers actually receive a clear and useable television signal: 1) Many home sets receive only the VHF Channels; 2) Stations operate with power too low to reach all residents with the community; and 3) Signal interference exists in areas with hilly terrain and tall buildings. Among the existing ETV stations, nearly one-third do not have adequate reproduction capability to permit the local programming flexibility; and about the same number are unable to originate programs in color at the local level.

Today, 173 full-service public radio stations are capable of providing programming to potentially 65 percent of the U.S. population. Many of these potential listeners are also unable to receive the public radio station in their community for the following reasons: 1) Many home radios and most car radios are AM only while approximately 95 percent of all public stations operate in the FM band; 2) Stations operate at lower than authorized power, reduced power at night, or during the daytime only; 3) Signal interference; and 4) Station towers are less than the maximum allowable heights.

Many local noncommercial broadcast stations are now able to receive the network program services provided TV stations by the Public Broadcasting Service (PBS) and radio stations by National Public Radio (NPR). The program offering to these stations have been highly beneficial. It has enabled them to devote a greater amount of their resources to local quality productions. According to a 1974 Public Broadcasting Service (PBS) survey, 43.4% of the programming of a public TV station is devoted to general programs (16.0% information and skills, 12.5% children's, 12.3% cultural and 2.6% other); 29.5% to ITV; 16.7% to Sesame Street/Electric Company (6.3% shown in homes, 10.4% in schools); and 10.4% to news and public affairs.

The Educational Broadcasting Facilities Program (EBFP) utilizes studies conducted by the National Center for Educational Statistics (ASE) in the continuing process of awarding Federal assistance grants and in the planning and development of needed broadcast facilities. Basic data is collected in five areas: (a) financial and programming, (b) employee, (c) station and transmission facilities, (d) broadcast data, and (e) management personnel. The program continues to identify new data needs by keeping in close communication with all organizations which carry out research in the field of telecommunications.

A 1974 study for the Office of Education performed by Battelle, Columbus, Ohio, entitled A PLANNING STUDY -- THE FUTURE OF EDUCATIONAL TELECOMMUNICATIONS concluded that public telecommunications has great potential, but to fulfill that potential there is a need for re-examining goals, broadening current guidelines to take advantage of new technology, improving distribution capabilities, and setting minimum standards for production facilities. For the EBFP program it was recommended that primary emphasis be focused on extended and improved transmission, and the funding of production capabilities must be carefully balanced between the need for substantial pools of talent and equipment and the desire for local activity.

Ongoing and Planned Evaluation Studies:

Currently, HEW is the primary funder of AREAPOP II, a study on public television coverage conceptualized by the Public Broadcasting Service. AREAPOP II will link information on station actual transmission patterns with demographic data on their potential viewers. The study will provide information which is critical for facilities planning and program development. In addition, the study will also allow for follow-on simulation activity which will predict how given changes in a station's transmission facilities will affect the station's coverage.

Sources of Evaluation Studies:

1. Educational Broadcasting Facilities Program historical operating data
2. Surveys of existing facilities made by the National Center for Educational Statistics (ASE).
3. Corporation for Public Broadcasting, Washington, D.C. surveys and studies.
4. National Association for Educational Broadcasting, Washington, D.C. research studies.
5. Public Broadcasting Service, Washington, D.C. surveys and studies.
6. National Public Radio, Washington, D.C. surveys and studies.
7. The Future of Educational Telecommunications, A Planning Study by George W. Tressel et. al. Battelle Memorial Institute, Lexington Books, 1975.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Educational Television and Radio (Programming Support)

Legislation:	**Expiration Date:**
Special Projects Act Section 402 (P.L. 93-380)	FY 1978

Funding History:	Year	Authorization	Appropriation 1/
	1972	Indefinite	$7,000,000
	1973	Indefinite	6,000,000
	1974	Indefinite	3,000,000
			*1,000,000
	1975	Indefinite	7,000,000
	1976	Indefinite	7,000,000
	Transitional Quarter		1,600,000
	1977	Indefinite	7,000,000

* Impounded funds released in FY '74

Program Goals and Objectives:

The USOE goal for Education Television and Radio Programming is designed to carry out the development, production, evaluation, dissemination, and utilization of innovative educational television and radio programs designed (for broadcast and/or nonbroadcast uses) to help children, youths, or adults to learn. The legislative flexibility of the Special Projects Act permits the Office of Education to initiate a direct Federal funding approach in Educational Television and Radio programming broad enough to include a range of activities, from creative planning and development to installation and utilization of programs which have clear potential for helping people to learn.

Program Operation:

USOE administration of Educational Television and Radio Programming activity provided contract or grant support (contracts only from FY'76 on) for children's television programming, including the planning, production, evaluation, dissemination and utilization of programs such as Sesame Street and The Electric Company. Utilization includes activities and materials designed to enhance and reinforce the effectiveness of programs as used in formal and informal educational settings, including the development and implementation of a series of strategies in specific community settings which tap the energy and concern of parents, teachers and others for using television and radio as a positive force in educational development.

1/ Funding from 1972 through 1975 under the Cooperative Research Act, Title IV (P.L.83-531)

Program Scope: FY'76

A contract for $5.4 million was awarded to The Children's Television Workshop (CTW), producers of Sesame Street and The Electric Company for partial support of production, formative evaluation, dissemination and utilization activities. The focus of Sesame Street has been from the beginning to use television on a regular basis to provide the nation's three, four and five years olds with a supplementary educational experience to help them prepare for school with some of the basic buidling blocks of learning. The Electric Company series is targeted at seven to ten-year-old children functioning below grade level in reading. The 130 hour long Sesame Street and 130 half-hour The Electric Company programs are shown twice a day on the 260 public broadcasting stations (plus commercial stations in areas not served by public television) and in many areas and repeated again on week-ends. The audience of Sesame Street is estimated at 9 - 10 million children, the majority being three to five years old. The audience for The Electric Company is estimated at six million students, with approximately three million students (grades 2 - 4) viewing the programs in classrooms.

In addition to the contract to CTW, the following contracts were awarded for a total of $1,589,702: (1) Northern Virginia Educational Telecommunications Association, Springfield, Virginia to complete production of Dial A-L-C-O-H-O-L films for grades 9 - 12; $25,311 of FY'76 funds added to original FY'73 contract to total $590,311; (2) Abt Associates, Inc., Boston, Massachusetts to complete the utilization materials for the alcohol education films "Jackson Junior High" and "Dial A-L-C-O-H-O-L"; $35,000 of FY'76 funds added to original FY'75 contract to totals $210,000; (3) Greater Washington Educational Telecommunications Association, WETA-TV, Arlington, Virginia to design and produce a series of 10 half-hour television programs entitled "Music Is..." with accompanying teacher and student utilization materials targeted at grades 4-6. WETA has generated outside funding (approximately $500,000) for actual program production with the National Symphony Orchestra as subcontractor; $151,556 added to FY'75 contract to total $451,556; (4) Applied Management Sciences, Silver Spring, Maryland to plan, produce, evaluate, disseminate and produce utilization materials to accompany 20 half-hour shows to help parents be more effective as "first teacher" of their children. Contract total: $1,327,835; (5) Smithsonian Institution, Washington, D.C. To produce a thirty minute film based on the Smithsonian's Traveling Exhibit: Black Presence in the Era of the American Revolution 1770 - 1800. The film will be evaluated by diverse target audiences before dissemination of final product. Training materials and study guides will be prepared with funding from the National Endowment for the Arts, Bureau of Prisons and Foundations. Total FY'76 funds from Educational Television and Radio Programming is $50,000.

Program Effectiveness and Progress:

USOE has expended over $70 million in educational televivision programming from FY '68 through '77. The bulk of these expenditures has been for support of Sesame Street, The Electric Company, and the Emergency School Assistance Act (ESAA-TV) programming such as Villa Alegre and Carrascolendas.

A study was initiated by USOE because of the recognition that there is no clear and consistent policy regarding Educational Television Programming Support. The objectives of this study, conducted by The Institute for Communication Research, Indiana University, were (a) to review past and present programming support activities (including ESAA-TV), (b) to study secondary sources of information, e.g., professional literature, interviews of experts in the field of purposive programming including those actively involved in program development, and (c) utilizing these sources of information, to give an assessment of present USOE activities and suggest alternatives for future program directions. The contractor found that USOE policy is inconsistent and unclear, particularly when viewed from the perspective of several consecutive years in which program policy has changed annually. From the evidence developed in this study, the following conclusions can be derived: (a) the channel of communication between policy makers and program managers is poor, as evidenced by policy decisions made with minimal involvement of program managers and nabagers attempting to run the program without a full understanding of the policy rationale; (b) the traditional funding period for developmental grants and contracts (a maximum of three years) is probably adequate for program development but provides no means by which a successful product can be marketed; (c) allocation of fiscal resources is inequitable, i.e., the legislatively mandated allocation of funds to CTW leaves little flexibility for support of other purposive programming.

Ongoing and Planned Evaluation Studies:

None

Source of Evaluation Data:

1) The Federal Role in Funding Children's Television Programming by Keith Mielke, Barry Cole, Rolland C. Johnson, Indiana University 1975.

2) Sesame Street Revisited by Thomas D. Cook, Hilary Appleton, Roos F. Conner, Ann Shaffer, Gary Tamkin, and Stepehn J. Weber, Russel Sage Foundation, N.Y. 1975.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Right-to-Read and The National Reading Improvement Program

Legislation:	**Expiration Date:**
National Reading Improvement Program, Title VII, P.L. 93-380, as amended by P.L. 94-194	FY 1978

Funding History:	Year	Authorization	Appropriation
	1971	$ Indefinite	$ 2,000,000
	1972	Indefinite	12,000,000
	1973	Indefinite	12,000,000
	1974	Indefinite	12,000,000
	1975	Indefinite	12,000,000
	1976	118,800,000	23,800,000
	1977	139,200,000	26,000,000

Program Goals and Objectives:

Right-to-Read is a national effort for developing and improving the reading skills of all citizens, enabling each to function effectively in our society.

It is both a legislated program and a coordinated national endeavor for promoting the involvement of all segments of society, both public and private, to ensure that in the next decade no American shall be denied a full and productive life because of an inability to read effectively.

In pursuing its goal, Right-to-Read;

- encourages the established educational agencies within a State to exert a coordinated and cooperative effort to solve the literacy problem through the efficient usage of the economic and human resources available within the State

- recommends a systematic process for assessing literacy needs and for developing and implementing programs to meet those needs

- provides financial assistance to local educational and non-profit organizations for instructional programs and to State agencies for leadership and training activities

- identifies and disseminates pertinent and useful information relative to effective reading techniques, materials, instructional approaches, and organizational designs
- provides technical assistance in planning and implementing instructional and staff development programs
- enlists the involvement and support of the private sector and of governmental agencies for activities which impact on literacy needs

Within the Right-to-Read Effort, the major programmatic activity is to administer Title VII, Public Law 93-380, as amended by Public Law 94-194, which includes the following components:

- State Leadership and Training Programs -- to provide training for local Right-to-Read administrators and to exert leadership in achieving a solution to the literacy problem of the State through a coordinated and cooperative effort of the educational agencies of the State
- Reading Improvement Projects -- to develop and implement innovative reading program for preschool and elementary children
- Special Emphasis Projects -- to determine the effectiveness of reading instruction provided by reading specialists in the classroom setting
- Reading Academies -- to provide appropriate reading instruction for inschool and out-of-school youth and adults who otherwise do not have access to such instruction
- National Impact Effort -- to develop and disseminate innovative projects which show promise of impacting significantly on the reading deficiencies of the Nation
- Inexpensive Book Distribution Program -- to provide motivation in reading through the distribution of books to students as gifts, on loan, or at a nominal cost

Fiscal year 1976 has been a significant year in the history of the national Right-to-Read Effort. Much of that significance relates to the expansion and implementation of the National Reading Improvement Program, Title VII, Public Law 93-380 as amended by Public Law 94-194.

The funding of Right-to-Read, previously at the $12-million level, has been increased through two additional Congressional appropriations to $23.8 million. This increased funding of nearly 100 percent in fiscal year 1976 permits a 114 percent increase in the number of grants awarded this year. Seventy percent of the grantees are new to the program. Nineteen reading academies and 51 State leadership and training programs are continuations. The State leadership and training program continues to provide continuity to the overall effort within each State. The synergistic approach for providing a solution to the problem of illiteracy focuses on the leadership provided by the State education agency in stimulating and facilitating a cooperative effort on the part of the tax-supported and private sector agencies of the State in utilizing financial resources and human expertise in a coordinated thrust to meet the literacy needs of the citizens of the State.

Major achievements have been made during the year in bringing about this coordinated effort involving the State education agency (SEA), the local education agencies (LEA's), and the State-supported teacher preparation institutions (TPI's). In addition, many private sector agencies, including those preparing teachers, have been actively involved in many ways.

Title VII also provides for funding innovative preschool and elementary school reading programs. The preschool component is new to the Right-to-Read thrust. Both of these programs are based on the diagnostic/prescriptive approach to reading instruction and place emphasis on early prevention of reading difficulties and the achievement of developmental objectives. A major emphasis is placed on staff development and on meeting the individual needs of all children.

The reading academies serve in- and out-of-school youth and adults who do not have other access to reading instruction. This program depends heavily on the services of trained volunteer tutors to provide the reading instruction in the branch or satellite academies. The central academy recruits students, trains tutors, and provides the needed logistical support for instruction which is frequently provided on an individualized basis.

An experimental component of Title VII is the Special Emphasis Program designed to measure the effectiveness of reading specialists providing reading instruction for first- and second-grade children for a period of time each day. The results of this method of instruction will be compared with the reading achievement of children where the instruction is provided solely by classroom teachers. A carefully designed evaluation program is being carried out in cooperation with the Office of Planning, Budget, and Evaluation.

The National Impact Program was added to Title VII through the amendments of Public Law 94-194. This component of the program permits the development and dissemination of projects which show promise of impacting significantly on the reading deficiencies of the Nation. These projects, described elsewhere in the report, are provided for on a contractual basis and will include a number of needed projects for supplementing the other program components of Title VII.

Another component added to the Right-to-Read Program through the Amendments of December 1975 is the Inexpensive Book Distribution Program. This component, intended as a motivational effort for children, calls for the awarding of a contract for the development of such a motivational program and for the dissemination of books to children on a no cost, loan, or reduced cost basis. The program enlists the private sector of society in both the provision and dissemination of books and materials on reading.

A continual effort is being made throughout the Nation to achieve an awareness and an active involvement on the part of private sector agencies, which have much to offer in terms of support and services in the quest for bringing literacy to all citizens.

State Leadership and Training Projects:

Agreements are entered into with State educational agencies for the purpose of carrying out by such agencies of leadership and training activities designed to prepare personnel throughout the State to conduct projects which have been demonstrated in that State or in other States to be effective in overcoming reading deficiencies. These activities shall be limited to (1) assessments of need, including personnel needs, relating to reading problems in the State, (2) inservice training for local reading program administrators and instructional personnel, and (3) provision of technical assistance and dissemination of information to local educational agencies and other appropriate nonprofit agencies.

Reading Improvement Projects:

This activity encourages State and local educational agencies, nonprofit private schools, public and private nonprofit agencies, and other cultural and education resources of the community to undertake projects to initiate or strengthen pre-elementary school programs and the programs of elementary schools having large numbers or a high percentage of children with reading deficiencies.

Special Emphasis Projects:

This activity determines the effectiveness of intensive instruction by reading specialists and reading teachers and providing and working with elementary school children. The need here is to determine whether or not reading specialists can provide more effective instruction to elementary school children than regular classroom teachers. This experimental program will be closely followed and evaluated.

Reading Academies:

This program provides for national reading improvement needs of in-school as well as out-of-school youths and adults not normally served by traditional local reading programs. It involves the utilization of institutions and community-based groups not ordinarily used as sponsoring agencies to provide reading instruction. Satellite academy centers will be established by the centrally-funded academy and will utilize trained-volunteer tutors for adults. Intensive recruitment efforts will be made to stimulate individuals to join the reading academies for a year as tutors.

National Impact Activities:

National Impact Efforts are authorized by the Congress for the purpose of developing and disseminating innovative projects which show promise of impacting significantly on the reading deficiencies of the Nation. The following paragraphs describe current and recent activities carried out under this authority.

Right to Read Manual:

A contract has been awarded to The Executive Woman, Inc., to produce a manual which explains the overall strategy, basic components, and the initial and current programmatic thrust of the national Right-to-Read Effort. This manual, which will provide information on Right-to-Read products, processes and procedures, is in draft stage, and is expected to be completed by this fall. Dissemination plans have not yet been determined.

Right to Read Tutor-Training Filmstrips:

Six tutor-training filmstrips were produced and completed under contract to Verve Research Corporation of Bethesda, Maryland. These six filmstrips, "Overview: On Being A Reading Tutor," "Organizing and Administering Your Tutoring Program," "Talking to Tutors About Tutoring," "Word Attack Skills," "Comprehension Skills," and "Study Skills", which support the Right-to-Read Tutoring Handbooks, were designed to assist in organizing and administering a tutoring effort in reading for elementary schools. Dissemination plans for these filmstrips are currently being reviewed.

Right-to-Read Film:

A Right-to-Read film, ". . . but everyone I know can read," was completed in December 1975. This film produced under contract by Verve Research Corporation of Bethesda, Maryland, is designed to inform the public about the Right-to-Read and to motivate schools, individuals, and groups to participate in the national effort to eliminate illiteracy. Activities are under way to have the film nationally disseminated through an additional contract.

Right-to-Read Elementary Principals Training Program:

A contract is to be awarded to Meta-4, a minority business corporation, to produce in audiovisual and print format a series of modules designed to provide training in reading leadership for elementary principals. Former Right-to-Read technical assistants will be involved in the design and development of this training program. Future plans include dissemination and training through the State leadership and training effort.

Strategies for Classroom Problem Solving: A Self-Help Model for Reading Teacher:

A contract is being planned for the development and field testing of a model for assisting classroom teachers in solving instructional problems in reading.

Handbook for Establishing an Adult Literacy Project:

A collaborative effort with the adult education community will produce a handbook which outlines the process of planning, implementing, and evaluating an effective adult education program.

National Assessment of Educational Progress (NAEP) of 17-Year Olds:

A contractor will be responsible for measuring the reading progress of 17-year-old inschool youth through exercises developed by NAEP specifically for this purpose.

Private Sector Involvement:

Many private agencies within our society are interested in and wish to be supportive of programs which have impact on the literacy needs of our citizens. The national Right-to-Read Effort has involved a variety of private agencies in the many aspects of the national program. As this involvement continues to expand, there is a need to develop a systematic approach for identifying interested private agencies. The effects of such partnerships will result in a more effective utilization of the human, financial, and material resources available in each State to impact on literacy needs. The strategy being developed will involve the national, State, and local levels of the Right-to-Read structure in working with the respective components of private agencies. The implementation of this strategy is of major importance for fiscal year 1977.

Position Papers on Reading and Literacy Development:

Right-to-Read is awarding a contract for the development of position papers covering reading instruction from preschool through the adult levels. These position papers together with a strategy for implementation will be contained in a document made available for national distribution. These papers will also serve as a base for Right-to-Read's participation in the Bicentennial Conference currently scheduled for January 1977.

The Inexpensive Book Distribution Program:

Under Public Law 94-194, Section 726 (The Inexpensive Book Distribution Program), the U.S. Commissioner of Education is required to issue a contract to a private nonprofit group or public agency to provide an inexpensive book distribution program. The purpose of this contract will be to provide reading motivation programs which include the distribution of books by gift, loan, or sale at a nominal price to children in pre-elementary, elementary, or secondary schools. The contractor will establish subcontracts with private nonprofit groups or public agencies that agree to establish, operate, and provide the non-Federal share of the cost of reading motivation programs. The Right-to-Read office in administering this contract will determine if book publishers and distributors have made reasonable discounted prices available to the contractor or subcontractors. Further, the contract will include conditions and standards set by the Commissioner which he determines to be necessary to assure the effectiveness of the programs authorized under Section 726 of Title VII. The contractor will also provide technical assistance to the subcontractors who will be engaged in the process of establishing, operating, and providing the non-Federal share of the cost of reading motivational programs.

The process of awarding a contract under this authority is currently under way, and it is anticipated that the inexpensive book distribution program will become operational in the fall of 1976.

Fiscal Year 1976 Obligations (Estimated):

The appropriations for fiscal year 1976 reflect an increase of almost 100 percent in programmatic dollars over any previous year's funding. The number of grant awards indicates an increase of 114 percent over those of fiscal year 1975. Seventy percent of the 1976 grantees are being funded for the first time by Right-to-Read. Nineteen reading academies and 51 State leadership and training grants are continuations.

The fiscal year 1976 obligations for the national Right-to-Read Effort are listed below.

Activity	Number	Amount
State Leadership Program	56	$ 4,800,000
Reading Improvement Projects	142	7,532,000
Reading Academies	80	5,630,000
National Impact Projects	10	600,000
Special Emphasis Projects	8	1,000,000
Inexpensive Book Distribution	1	4,000,000
Evaluation	1	238,000
TOTAL	298	$23,800,000

Program Effectiveness and Progress:

1. Evaluation of School-Based Right-to-Read Sites by Contemporary Research, Inc., Los Angeles, October 1973.

   A number of the findings from this study, summarized below, have implications for the structuring of program activities under Part A, Title VII:

   - Emphasis should be placed on classrooms that involve single grade levels only. The data suggest that where more than one grade level was included under a single teacher in a single classroom, learning did not take place to the same degree as in single grade level classes.

   - Greater stress should be placed on the need to implement the reading program at the first grade. The findings showed that while a total of 32 schools had the reading program in the second grade and 37 schools in the third grade, only 12 reported having the program in the first grade. Since much reading activity takes place in the first grade, projects funded under Part A. Title VII should and does place emphasis on the establishment of reading programs in the first grade.

   - The analysis of overall grade level gains indicates that upper grades (7-9) did not show reading gains to the same extent as did elementary grades. It may be that factors accounting for reading gains at elementary grade levels are not as effective at upper grade levels.

   - Twenty eight of the 44 school-based projects met or exceeded the Right-to-Read criterion of satisfactory reading progress of one month gain in reading achievement for each month of reading instruction. Sixteen of the 44 projects failed to achieve this objective, but some of this **apparent** failure may be attributable to inadequacies in local evaluation procedures such as failure to obtain pre- and post-test data on the same students and the use of non-comparable reading tests. Projects to be funded under Part A, Title VII should be required to plan for the control of such conditions in order to provide for internal project assessment as well as to enable cross-project comparisons.

2. An Evaluation of the Community-Based Right-to-Read Program by Pacific Training and Technical Assistance Corporation, Berkeley, September 1974.

   The findings from this study of a random sample of 24 community-based Right-to-Read projects drawn from a population of 73 funded projects have implications for the conduct of Reading Academies, Section 723, Part C of Title VII.

The efforts put forth by the sampled projects are paying off as evidenced by statistically significant improvement in reading on the part of functionally illiterate adults. Although the reading gains of illiterate adults is significant, the accomplishment of full functional literacy cannot be achieved in a 4 to 6 month period (time span of the study).

In attempting to determine specific project characteristics that are associated with reading gains, very few definitive conclusions were reached. No significant differences were found among adult projects by type of service delivery system, thus indicating that ESL (English as a Second Language) classes, paid tutoring projects, and volunteer tutoring projects are all able to provide effective instruction.

Since no significant differences were found in reading gains among the adult community-based projects with respect to the type of instructional delivery system employed, it appears that considerable flexibility in determining the appropriate instructional strategy or system can be encouraged.

In regard to the retention and attendance of participants in adult community-based projects it was found that: (1) non-attendance was the primary reason for termination; and (2) regular attendance was positively related to gains in reading achievement. The study suggests some possible approaches to maximizing retention and attendance of participants which have implications for the operation of adult reading academies: (1) individual agreements could be established between participants and the academy specifying the requirements of meeting class schedules, length of participation, and statement of goals or aims; and (2) develop attendance schedules that will optimize the hours of instruction in terms of participants' available time.

Finally, in regard to project costs, the study revealed that adult community-based projects had widely varying costs per student and costs per instructional hour ratios with no apparent direct relationship between cost and reading gain. In anticipation of the establishment of adult academies more attention could be given to project budget. It seems reasonable to suggest that guidelines or ranges of cost per student and cost per instructional hour ratios be established for planning purposes so that academies will have standards for efficient budgeting.

3. Assessment of the State Agency Component of the Right-to-Read Program by Applied Management Sciences, Silver Spring, Maryland, June, 1976.

In this study, Applied Management Sciences has investigated the various activities and processes of the State Right-to-Read Program, in order to determine what effect this program has had at the State Educational Agency and Local Educational Agency level in the 31 States which entered the Right-to-Read Program during Phase I and Phase II of this effort. The analyses of the activities and processes are based on data obtained in visits to the 31 State Departments of Education; visits to three Local Educational Agencies randomly selected from those LEA's in the State that had participated in the Right-to-Read Program for at least one year; and the results of a mail survey of a 50 percent sample of LEA Right-to-Read Directors within each State whose programs had been affiliated with Right-to-Read for at least one year.

Also, Applied Management Sciences has developed case studies of the State Component of the Right-to-Read Program which describe how these programs operate in these 31 States.

Findings:

The results of this study can be summarized in one statement: the approach taken by Federal administrators responsible for the State Component of the Right-to-Read Program appears to have been successful in that the programs have achieved meaningful effects utilizing a relatively modest amount of money. This is evidenced by the following:

- Although none of these States had been involved in the program for more than three complete school years at time the data were gathered (the Phase II States had only been involved for two years), 16 percent (5) of the State Directors reported that all districts in their State were already involved in the State program, and 58 percent (18) reported that all districts in the State would be involved sometime within the next four years. In 20 percent (6) of the States, the Right-to-Read Program has been operational in at least 40 percent of the schools in the State for a minimum of one year as of January, 1976.

- The 31 States have provided Right-to-Read training to 904 local district Right-to-Read Directors in the first program year, 1600 in the second program year, 2,023 in the third program year and 150 in the fourth program year[1], and training to 2,870 principals and 9,267 teachers. The number of hours of training provided to these persons have varied from at least 30, to more than 200.

- In almost half (15) of the States, the Chief State School Officer, the State Assistant Superintendent for Instruction, and/or the State Right-to-Read Director reported that the Right-to-Read Program would definitely continue in some capacity in the event that Federal support was terminated, even if no other resources were found. An additional six States indicated the program would be continued if other resources could be identified.
- Bills relating to reading have been introduced in the legislatures of at least 81 percent (25) of the States; and certification requirements relating to reading have been strengthened in the past two years in 65 percent (20) of the States. While Neither of these outcomes can be specifically attributed to Right-to-Read, we feel they are indicative of the climate within which Right-to-read is operating in most of these 31 States.
- In all of the 31 States, Right-to-Read programs have been implemented to at least a minimal degree across all school levels. In nearly all States, the programs have, by far, the most participation at the elementary level.
- State Educational Agencies and Local Educational Agencies have been successful in contributing to the establishment of reading as a top priority. Ninety-two percent[2] (23) of the Chief State School Officers reported that reading was cited as a major educational objective by the State Board of Education or that an official proclamation had been issued by the Governor's office in support of the Right-to-Read effort.

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[1] Because of program continuity, these aren't necessarily different persons. To the contrary, many Directors have received training for two or more years.

[2] Data were received from only 26 of the 31 Chief State School Officers.

The results of this study also indicate that there are several areas of the Right-to-Read Program in which improvement is indicated. These findings are summarized below:

- The major finding with respect to the local district Right-to-Read Programs is that there was a higher proportion of implementation of the Right-to-Read Program in local districts where there was a full-time local Director than where the Director was part-time. Yet, only 1 percent (79) of the district level programs now have full-time Directors.

- Technical assistance has been provided to all participating Right-to-Read Districts through the use of workshops and/or conferences. While workshops and conferences proved to be an effective means of introducing local district staff to the concepts of the Right-to-Read Program, over 40 percent of the local district Right-to-Read Directors have expressed dissatisfaction with the technical assistance they are presently receiving.

- The State Right-to-Read Program has addressed adult reading needs by communications with the State Director of Adult Basic Education in 89 percent (25) of the States. At the local level, information was gathered pertaining to the relationship of local adult basic education programs to the local Right-to-Read program. In 45 percent (14) of the 31 States visited, there were no Adult Basic Education programs coordinated with the local Right-to-Read programs that were selected, in another 29 percent (9) of the States, only one out of three local sites selected proved to have Adult Basic Education programs associated with the Right-to-Read effort. Thus, in educational agencies sampled, there was more coordination of Right-to-Read and adult basic education at the State level than at the local level.

- An important aspect of the effectiveness of the Right-to-Read Program is the extent to which communication between the SEA and LEA's is maximized. The questions of "how can the Right-to Read Program be improved?" and "What problems have arisen as a result of Right-to-Read were addressed to LEA teachers and administrators as well as State Education Agency personnel in the interests of obtaining their ideas concerning Program improvement. The responses to these questions lead to the conclusion that more effective communication links need to be established between the SEA component of Right-to-Read and LEA classroom teachers. This conclusion is based on data revealing that:

1. At least 25% of LEA administrators indicated the need for more involvement in and support of Right-to-Read are needed from teachers;

2. At least 33% of SEA personnel, LEA administrators, and 25% of the teachers indicate that some of their group object to and/or are slow to accept the Right-to-Read strategy;

3. At least 15% of all respondents indicate that teachers feel reading is emphasized at the expense of other programs; and

4. At least 40% of LEA principals indicate that some teachers feel they are not prepared content-wise to carry on the Right-to-Read Strategy.

o The Task Force, as set up by regulations governing the Right-to-Read program, "shall consist of representatives of all programs within the State educational agency involving or related to reading activities," and "the task force shall serve as a means of securing collaboration, with respect to the planning and implementation of the project...among representatives of different programs within the State agency involving or related to reading activities and also as a means for insuring that the project is effectively coordinated with other reading activities of the State Educational agency." Data from the State Right-to-Read Director and State Assistant Superintendent for Instruction indicated that coordinational activities were carried out by them, rather than by the Task Force, which therefore appears to be functioning at a minimal level of usefulness in many States.

o Dissemination and amassing public support activities were not high priority activities in the State Educational Agency. Conduct of these activities is the stated responsibility of the Advisory Council, but it was indicated in State and local level ratings that the Advisory Council is not effective in dissemination or in amassing public support. In addition, the composition of most Advisory Councils do not fulfill National Right-to-Read Program guidelines in terms of numbers of women and minorities.

o Thirty-nine percent (12) of the States used the following criteria to distribute Right-to-Read services to school districts in the State:

.. geographic representation;

.. student population.

The major criterion used to select local districts for participation in Right-to-Read in the remaining 61 percent (19) of the States was willingness of the local district to comply with the terms of the agreement/contract and enter the Right-to-Read Program. This, again, is not totally responsive to the National guidelines which specify selection of local districts according to geographic representation, student population, and needs assessment.

- Over two-thirds of the States and over half of the districts visited indicate that evaluation of the Right-to-Read Program had taken place. However, there was no evidence of State Right-to-Read Program emphasis on the evaluation of the measurability and feasibility of local districts objectives. There was no apparent emphasis placed on accomplishment of activities according to timeliness or the evaluation of the accomplishment of these objectives. This must be considered a severe program weakness.

- Needs assessments in reading had been conducted in 93 percent (29) of the States and 91 percent (83) of the districts. However, a critical area for improvement in needs assessment activities is the assessment of adult needs. Only 19 percent (6) of the States have conducted an assessment of adult reading needs.

It should be noted that none of these outcomes relate directly to reading achievement on the part of students. The reason for this is that this study was designed solely to assess the type and level of activities which have been fostered by the State Component of Right-to-Read funding.

As a final note, in the analyses of project data, over 2,000 correlations, cross-tabulations and analyses of variance were performed to determine if particular program descriptive variables related to positive indicators of program impact. Examples of these relationships include the educational level of the State Right-to-Read Director and prediction of full State participation in Right-to-Read; attributes of the Advisory Council and how effectively dissemination and amassing public support activities have been implemented, etc.

A major finding as a result of all these analyses is that there were fewer statistically significant relationships than one would expect to occur, even by chance. When one uses a .05 level of significance, it indicates that in 5 out of 100 cases one would expect a significant result by chance alone. Therefore, in processing over 2,000 statistical analyses, one would expect, by chance, .05 x 2,000 or 100 significant results by chance. In fact, less than 50 results proved to be significant.

This indicates that some systematic event is occuring which is causing the low frequency of significance.

Because of the similarity of data obtained across the 31 States, it may be concluded that, for the most part, the States are implementing the 16 National Objectives and their underlying activities in the same manner. This can be interpreted to mean that the Right-to-Read strategy has been adopted as a viable strategy and has been implemented across the 31 States. Thus, the training and support activities provided by National Right-to-Read, and the comparatively little money provided to the States, has provided a substantial impetus in developing viable State strategies in reading.

Ongoing and Planned Evaluation Studies:

A contract was let in July 1976 to Applied Management Sciences, Silver Spring, Maryland for the purpose of determining the information requirements of the National Reading Improvement Program, Title VII, P.L. 93-380 as amended. The goals of this study are: (1) to establish the specific National Reading Improvement Program Management information requirements for a management information system; and (2) to design and implement a manual/automated system that will satisfy the requirements. The attainment of these goals will enable the Program to meet the mandated annual evaluation requirements as stated in Part D, Title VII, Public Law 93-380 as amended.

Source of Evaluation Data:

1. The Information Base for Reading, 1971.

2. Evaluation of School-Based Right-to-Read Sites, Contemporary Research, Incorporated, Los Angeles, California, October 1973.

3. Evaluation of a Sampled Community-Based Right-to-Read Projects, Pacific Training and Technical Assistance Corporation, Berkeley, California, 1973.

4. Briefing Package for the ASE Management Conference, October 23, 1974.

5. Assessment of the State Agency Component of Right-to-Read, Applied Management Sciences, Silver Spring, Maryland, June 1976.

6. Study of the Information Requirements of the National Reading Improvement Program, Applied Management Sciences, Silver Spring, Maryland, July, 1976.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Alcohol and Drug Abuse Education

Legislation:	**Expiration Date:**
The Alcohol and Drug Abuse Education Act of 1974	FY 1977

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1971	$10,000,000	$ 5,610,000
	1972	20,000,000	12,400,000
	1973	28,000,000	12,400,000
	1974	28,000,000	6,700,000*
	1975	26,000,000	4,000,000
	1976	30,000,000	2,000,000
	1977	34,000,000	2,000,000

Program Goals and Objectives:

The principal purpose of the Program as defined by the authorizing Act is to help schools and communities assess and respond to alcohol and drug abuse by becoming aware of the complex nature of the problem, and to prepare them for developing strategies aimed at its causes rather than merely its symptoms. The program strongly encourages a coordinated school-community effort.

Program Operations:

Grants are awarded to school districts and community agencies for training in planning, development and implementation of alcohol and drug abuse prevention programs.

Grants and contracts support activities such as the following: creative primary prevention and early intervention programs in schools; development, demonstration, evaluation and dissemination of new and improved curricula on the problems of alcohol and drug abuse for use in education programs throughout the Nation; preservice and inservice training programs for teachers, counselors, law enforcement officials and other public service and community leaders; and community education programs for parents and others on alcohol and drug abuse problems.

Program Scope and Effectiveness:

During the 1972-73 project year there were 55 State Education Agency projects which impacted on an estimated 117,000 people through education and training of youth service personnel, and 3.5 million people through a variety of indirect services, such as mass media efforts and the multiplier effect of training educators. With FY 73 funds, OE program personnel continued to provide these types of services, and cooperated with the designated single State Agencies (P.L. 92-455) in the development of comprehensive State prevention plans. During this same period, one National and seven Regional Training Centers trained approximately 1200 community leadership teams of 5 to 8 members each. Eighteen college-based and 40 community-based projects furnished education and training to approximately 22,000 youth and adults in schools and in the community; hotlines, crisis centers, rap centers, counseling and alternative programs were implemented. Most of these projects are continuing to provide services into Fiscal Year 1974 with Fiscal Year 1973 funds. In addition, through 3 national conferences, OE trained teams comprised of deans, faculty and students from 180 colleges and universities.

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*Includes 1.0 million interagency transfer from SAODAP

With Fiscal Year 1974 funds, OE initiated a new school-based team training program. Teams of educational personnel -- administrators, teachers, counselors, psychologists -- from 338 local education agencies received training and subsequent on-site support through this new program. The training of community-based teams was continued with grants to 248 communities for this purpose. Training for both school and community teams was delivered through the network of 5 regional training centers. A new demonstration program to develop models for training preservice educational personnel was started in six participating colleges and universities. The National Action Committee for Drug Education continued to provide technical assistance to the national program. Two evaluation contracts were let: one for the evaluation of the new school-based training program and the other for the evaluation of the new preservice demonstration program.

Fiscal Year 1975 funds provided for 200 new school-based teams, and supported 6 preservice demonstration projects for their second year of development.

Fiscal Year 1976 funds continued support for the network of 5 Regional Training Centers, which provided on-site technical assistance and additional skill training to locally-based teams, and gave planning assistance to State agencies. Approximately 760 teams from local school districts and community agencies received such assistance.

The six preservice demonstration projects also received support for their last year of development. During this time they expanded their programs, assessed their impact on their colleges of education; and documented their demonstration projects for national dissemination.

Ongoing and Planned Evaluation Studies:

None

Sources of Evaluation Data:

Program Data

Studies supported by program funds as follows:

1. Training for "people" Problems: An Assessment of Federal Program Strategies for Training Teachers to Deal with Drug Education; 1971.
2. Drug Abuse Program Report: Program Evaluation by Summer Interns; 1971.
3. National Study of Drug Abuse Education Programs; 1972.
4. Field Study Drug Use and the Youth Culture; 1972.
5. An Operationally-Based Information Support System for NDEP; in process.
6. General Research Corp., Minigrant Study; 1974
8. BRX/Shelley, "What Works and Why" project (Fifty Successful Practices); 1974.
9. American Institutes for Research, "Evaluation of the School Team Approach for Drug Abuse Prevention;" 1975.
10. Abt Associates, Inc., "Evaluation of the National Preservice Drug Education Program;" 1975.
11. E. H. White and Company, Evaluation of the 1973 "Help Communities Help Themselves Program;" 1975 (originally funded by SAODAP, and monitored by the National Institute for Drug Abuse).

ANNUAL EVALUATION REPORT ON
EDUCATION PROGRAMS

Program Name:

Environmental Education

Legislation:

Environmental Education Act of 1970 (P.L. 91-516); Extended by P.L. 93-278

Expiration Date:

FY 1977

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1971	$ 5,000,000	$ 2,000,000
	1972	15,000,000	3,514,000[1]
	1973	25,000,000	3,180,000
	1974	25,000,000	2,000,000
	1975	5,000,000	1,900,000
	1976	10,000,000	3,000,000
	1977	15,000,000	3,500,000

Program Goals and Objectives:

The purpose of environmental education as expressed in the Environmental Education Act is to help individuals understand problems, issues, options, and policies affecting the quality of the total environment, including social, economic and cultural aspects. The Act supports the development of educational resources required to achieve these objectives among all age groups and sectors of the country.

The Act provides (1) broad authority for flexible, responsive support of environmental education development needs (rather than support of predesignated activities in schools and communities) (2) support for community group-sponsored informal education projects, and (3) environmental education training for persons in education and other fields, including those in business, industry and government whose activities may effect environment policies and activities and hence quality.

Program Operations:

The overall strategy of the Office of Environmental Education is to facilitate through technical assistance and grant funds the development of environmental education, e.g., environmental studies programs and educational resources devoted to educating our citizens about both the immediate and long-term interactions and impacts of activities and decisions on environmental quality. This strategy involves (1) development of content and process through pilot projects, (2) the dissemination and transfer of effective materials and approaches through demonstration, training and dissemination projects, and (3) encouraging use of funds, other than those from the Environmental Education Act for support of operational programs.

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[1] Approximately $2 million withheld to cover backdated FY '72 grants.

Program Scope and Effectiveness:

In FY'76, program funds amounting to about $2.6 million were used to support a total of 90 environmental education projects. These included resource material development, personnel training, and community education in urban, suburban and rural areas in 44 States, territories and the District of Columbia. By kinds of projects the breakdown of grants awarded is as follows:

a. Resource Material Development -- 23

b. Personnel Development -- 15

c. Community Education -- 11

d. Elementary and Secondary Education -- 10

e. Minigrant Workshops -- 31

It is estimated that up to 5,500 people have been provided direct training through these projects. Projects funded under the Environmental Education Act during the past five years and those funded through other OE programs are being reviewed for possible dissemination. In addition, the Office of Environmental Education has awarded one contract totalling approximately $450,000. The contractor will analyze current environmental education resources and needs to improve assistance to local project planners/developers.

Technical or non-monetary assistance activities have included (1) assisting OE regional and headquarter program administrators in developing resources and expertise, and (2) assisting other Federal agencies, schools and communities interested in educational programs relating to environmental quality.

Ongoing and Planned Evaluation Studies:

None planned at this time

Source of Evaluation Data:

OEE Program Data

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Revision of Impacted Areas as it Relates to Indian Children
(Payments to LEA's for Indian Education)

Legislation:	**Expiration Date:**
Indian Education Act of 1972 P.L. 92-318, Part A	July 1, 1978

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	FY 73	$196,177,204	$11,500,000
	FY 74	208,000,000	25,000,000
	FY 75	235,000,000	25,000,000
	FY 76	441,242,000	35,000,000
	FY 77	568,755,000(*)	25,000,000

Program Goals and Objectives:

Part A of the Indian Education Act provides financial assistance to local educational agencies (LEA's) and non-LEA's for elementary and secondary education programs to meet the special educational needs of Indian and Alaska Native Children. In addition, a special provision in the Act allots not more than 10 percent of Part A funds to Indian controlled schools located on or near reservations.

The law indicates that its purpose is to provide grants on a formula basis to local school systems for (1) planning and other steps leading to the development of programs specifically designed to meet the special educational needs of Indian children, including pilot projects designed to test the effectiveness of these programs; and (2) the establishment, maintenance, and operation of programs, including minor remodeling of classroom or other space used specifically for such programs, and acquisition of necessary equipment.

The immediate program goal is to raise the per pupil expenditure by about $120 per child. The long range program goal is to supplement per pupil expenditures in the amount of $300 by FY 81, for

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(*)Estimated amount.

approximately 300,000 Indian children enrolled in eligible LEA's. The 1970 survey of Compensatory Education indicates that this level is required to provide an adequate program to meet the special educational needs of the Indian children. Funds from these grants are also intended to provide teachers and teacher aides in the basic skill areas of reading and mathematics; new supportive services, including home liaison and guidance and counseling services; and bilingual/bicultural activities.

Program Operations:

Grants are made to applicant LEA's on an entitlement basis according to the number of Indian or Alaskan Native students enrolled multiplied by the State average per pupil expenditure. For any fiscal year an amount not in excess of the 10% of the amount appropriated for Part A will be expended for non-local educational agencies.

If the sums appropriated for any fiscal year for making payments under this title are not sufficient to pay in full the total amounts which all local educational agencies are eligible to receive for that fiscal year, the maximum amounts which all such agencies are eligible to receive shall be ratably reduced.

Monies appropriated under Part A of the Indian Education Act are used for:

1. Grants to local education agencies which provide free education to Indian children, and
2. Financial assistance to schools on or near reservations which are non-local educational agencies in existence for more than three years.

Program Scope and Effectiveness:

Data from the 1976 Indian enrollment/entitlement computation indicated that over 3200 local educational agencies would be eligible for funding under Part A, Title IV, P.L. 92-318. During fiscal year 1976, 1,225 of these eligible agencies applied for funds to plan, develop, and/or operate programs designed to meet the special educational needs of Indian children. Of the applications received 1,098 grants were awarded. (During fiscal year 1976, approximately 302,000 children were enrolled in LEA's receiving Part A grants.) These grants average approximately $105 per child. From the non-LEA's, 43 applications were received in FY 76; of these 26 were approved in the amount of $ 3,181,818.

Projects funded under this part range from part-time ancillary services to full-time basic education and cultural enrichment programs. Activities are determined by the LEA's based on needs and population concentrations. In order to assure the most effective operation of this service program for Indian children, the following activities have been initiated by the Office of Indian Education in FY'76:

1) So that program funds will be focused on addressing the special educational needs of Indian children as specified in the legislation, a technical review of applications for both LEA's and non-LEA's is conducted to insure compliance with the provisions of the law. In addition, as projects are funded, a monitoring system for insuring adequate program management is implemented. During the period of project performance, as program administration resources permit, site visits are made to selected project sites and technical assistance is offered to projects requesting it. A national conference with grantees is held to insure the maximum dissemination of information relating to quality educational practices.

2) To insure full participation of the Indian community in the planning, implementation, and evaluation of these projects, a management reporting system is being instituted in which Indian parent committees will review and report on the management of Part A LEA grants. This objective is to be supported by the development of a "Part A Parent Committee Information Kit" which will provide detailed information on the planning, development and operation of programs under Part A.

3) To identify successful or promising educational practices, an extensive review is being conducted for both LEA's and non-LEA's of project cost and performance data in accordance with acceptable educational criteria.

4) To insure educational reform in Indian controlled (non-LEA) schools, an intensive planning program, fully coordinated with the Bureau of Indian Affairs, will be established. Specific objectives include identification and dissemination of quality educational products and processes, testing of the effects of funding levels up to $2,000 per child in a unique educational environment and evaluation of academic, economic and social progress obtained through such a program.

5) To upgrade the quality of educational evaluation at the local level, an Indian Education Evaluation Handbook, containing an extensive system for self-evaluation of educational programs, has been disseminated to all grantees for their use.

This program has been in operation for only a short time and no hard measures of its effectiveness are presently available.

However, an evaluation study is presently being conducted of Part A programs and projects which will supply such effectiveness information.

Ongoing and Planned Evaluation Studies:

An evaluation of this program is presently being implemented. This study commence in July, 1976 and will be approximately two years in duration. This evaluation of the effectiveness of the programs and projects funded under Part A of the Indian Education Act is chiefly an evaluation of the implementation of these programs and projects combined with a feasibility determination of establishing evaluation criteria which will support future impact evaluations of these programs and projects in subsequent years. This evaluation study will identify those nonfiscal obstacles to the programs and projects preventing them from achieving their full potential. The evaluation and feasibility study is not intended to restate the shortcomings of the American Educational systems in meeting the special needs of Native American children, but to document the progress made in relation to the funds committed and to recommend administrative or legislative improvements that may be required to remove specified obstacles of the programs.

Sources of Evaluation Data:

Program Review Materials

Program Audits

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Special Programs and Projects to Improve Educational Opportunities for Indian Children

Legislation	Expiration Date
Indian Education Act of 1972 P.L. 92-318, Part B	July 1, 1978

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	FY 73	$ 25,000,000	$ 5,000,000
	FY 74	35,000,000	12,000,000
	FY 75	37,000,000(*)	12,000,000
	FY 76	37,000,000(*)	16,000,000
	FY 77	37,000,000(*)	14,080,000

Program Goals and Objectives

The law indicates that its purpose is to authorize discretionary grants to Indian tribes and organizations as well as to State and local educational agencies for use in special programs and projects to improve educational opportunities for Indian children. These include (1) supporting planning, pilot, and demonstration projects designed to test and demonstrate the effectiveness of programs for improving educational opportunities for Indian children, such as bilingual/bicultural educational programs, programs dealing with special health, social, and psychological problems of Indian children; (2) activities assisting in the establishment and operation of programs designed to stimulate the provision of educational services not available to Indian children in sufficient quantity or quality, such as guidance, counseling, and testing services; and the development and establishment of exemplary educational programs to serve as models for regular school programs in which Indians are educated, such as remedial and compensatory instructional programs; (3) assisting in the establishment of preservice and inservice training programs to improve the qualifications of persons serving Indian children, such as teachers, teachers aides, social workers, and other educational personnel; (4) encouraging the dissemination of information and materials concerning educational programs, services, and resources available to Indian children, and evaluation of the effectiveness of educational programs which may offer educational opportunities to Indian children.

The long range program goals are to:

1. fill existing gaps in the provision of educational services to Indian children. The emphasis given to such

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(*)In addition to the authorized amount, up to 200 Fellowships can be awarded.

a service orientation will be dependent on Johnson-O'Malley and Title I funding strategies.

2. establish an adequate number of validated approaches toward meeting the special educational needs of Indian children.

The shorter or immediate program goals are to:

1. develop model programs for public schools, aternative schools and BIA schools and to develop a dissemination and public school impact network to insure the transfer of educational delivery systems from the model and demonstration stages to schools.

2. provide innovative and capacity building efforts in areas of educational need having high priority on a national basis.

3. provide basic educational services which will address those needs that are not being met by other programs intended for Indian children.

Program Operations

Part B of the Indian Education Act authorizes grants to support planning, pilot, and demonstration projects; educational services not otherwise available; personnel; and the dissemination of information and materials. Upon receipt and approval of applications, grants are made on the basis of national competition, to Indian tribes, organizations and institutions, State and local educational agencies, and Federally supported elementary and secondary schools for Indian children. The applications fall into the general area of cultural and educational enrichment programs and services.

Established criteria require that applications include the following:

1. a statement describing the activities for which assistance is sought;

2. information showing that the purpose and scope of the proposed project fall within the scope and intention of Part B of the Indian Education Act;

3. provisions for training of the personnel participating in the project; and

4. provisions for evaluating the effectiveness of the project in achieving its purpose.

The strategy for Part B projects is to address the needs of the Indian community by acquiring local Indian community support. Because both Indian community and school system personnel are involved in most projects from the needs assessment through the final evaluation, the entire project develops as a venture which is based on coordination of effort to achieve a specific goal.

Program Scope and Effectiveness

During the fiscal year 1976, the Office of Education received 609 applications to support planning, pilot, and demonstration projects; 132 applicants received awards. The approved projects dealt with the development of bilingual/bicultral programs, instructional materials and media centers, compensatory education, cultural enrichment, dropout prevention, and vocational training. In addition, 104 fellowships were awarded in the areas of medicine, law, business, forestry engineering, and related areas.

As contrasted with the FY 76 project awards of 132, 136 and 148 Part B project awards were made in FY 74 and FY 75. The growth in the number of projects during the short period of operation is an indication of acceptance by the Indian community of the intent of Part B of the Act.

In general, most funded districts' projects reflected the special educational needs of the local communities. A majority of the grantees under Part B designed their projects to attempt to meet the most compelling of these needs. Based on rather sparse data, the most effective projects are those which invest the largest dollar amounts on special staff - professional, paraprofessional, and non-professional. The most effective staff members appear to be those who have special abilities to perform successfully in areas that address the special needs of Indian students, and who have the necessary qualities of awareness and sensitivity to Indian students.

This program has been in operation for only a short time and no definitive measures of its effectiveness are available at present.

Ongoing and Plannned Evaluation Studies

No evaluation studies are currently planned for this program.

Sources of Evaluation Data

Program Review Materials

Program Audits

ANNUAL EVALUATION REPORT ON
EDUCATION PROGRAMS

Program Name

Special Programs Relating to Adult Education for Indians

Legislation	Expiration Date
Indian Education Act of 1972 P.L. 92-318, Part C	July 1, 1978

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	FY 73	$ 5,000,000	$ 500,000
	FY 74	8,000,000	3,000,000
	FY 75	8,000,000	3,000,000
	FY 76	8,000,000	4,000,000
	FY 77	8,000,000	4,000 ,000

Program Goals and Objectives

The statues indicates that the purpose of this program is to provide assistance to State and local educational agencies and to Indian tribes, institutions, and organizations to support planning, pilot, and demonstration projects serving adult Indians. Such programs include (1) those which enable participants to obtain high school diplomas, improve their communication skills, and participate in career development activities, (2) research and development programs to create more innovative and effective techniques for achieving the literary and high school equivalency goals; (3) surveys and evaluations to define accurately the extent of the problems of illiteracy and of failure to complete high school among adults on Indian reservations; dissemination of information concerning educational programs, services and resources available to Indian adults; and (4) to encourage the dissemination of information and materials relating to and the evaluation of the effectiveness of education programs which may offer educational opportunities to Indian adults.

The long range goal of Part C of the Indian Education Act is to eliminate illiteracy among Indian adults by providing high school equivalency diploma training to 30% of the adult Indian poluation between the ages of 20 and 59 by 1981 and to have served validated models in basic literacy and GED training available for installation as service programs.

The shorter range goals or immediate objectives of the program are:

1. To increase the number of high school equivalency diploma (GED) graduates and enrollment in continuing education programs through the use of culturally relevant materials.

2. To develop, test, and implement innovative and effective educational models and teaching strategies for achieving literacy and high school equivalency. To meet this objective, projects will be funded in such areas as curriculum development, teaching techniques, and adult equivalency testing. Areas of high relevancy to Indian communities, such as legal education, consumer education and vocational counseling and education will be used as course content to develop adult basic education programs.

3. To coordinate with adult education and GED programs administered by other Federal agencies.

Program Operations

Upon receipt of applications, grants are made to State and local educational agencies, Indian tribes, institutions, and organizations. The projects are designed to plan for, test and demonstrate effectiveness of programs for adult education for Indians. The projects are intended to assist in the establishment and operation of programs which are designed to provide basic literacy opportunities to all Indian adults to qualify them for high school equivalency certificates in the shortest period of time. Federally supported elementary and secondary schools are not eligible to receive grants for adult Indian programs.

Program Scope and Effectiveness

During fiscal year 1976, the Office of Education received 138 applications to support planning, pilot, and demonstration projects. 61 applicants received grant awards. In general, applications consisted of proposed pilots and demonstration projects designed to improve the employment and educational opportunities of adult Indians.

As contrasted with FY 76 project awards, 42 and 53 Part C project awards were made in FY 74 and FY 75.

While many influences undoubtedly contributed to the growth in awards, two major factors, closely related to the language and intent of the Act, should be considered.

One contributing factor is the Title IV definition of Indian. Under this definition, Indians (such as urban, terminated and State recognized Indians) who were formerly ineligible to participate in Bureau of Indian Affairs programs can be served under the provisions of Title IV. Thus, school district administrators and members of the Indian community may view Title IV funding as a highly desirable means of meeting the special needs of Indian students. As a result of this attitude, school administrators may attempt to serve as many Indians as possible and search for those who qualify to be served under the Act. Parents and children who are Indian, but cannot qualify for tribal enrollment or Bureau of Indian Affairs benefits because they do not meet blood quantum requirements, have recognized a source of educational support and have claimed their Indian identity in order to participate in the Title IV program.

Another factor is that the structure of Indian culture is so diverse that extensive funding problems are created by the inability to generalize effective educational practices to the overall Indian community. There are 467 recognized Indian tribes and bands, many of whom have entirely different cultural patterns. For example, an effective education practice for the Northern Cheyenne or one of the other Northern plains tribes may require extensive modification to work effectively for the Lumbees in the East.

This program has been in operation for only a short time and definitive measures of its effectiveness are unavailable at present.

Ongoing and Planned Evaluation Studies

No evaluation studies are currently planned for this program.

Sources of Evaluation Data

Program Review Materials

Program Audits

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name

Education for the Use of the Metric System of Measurement Program

Legislation

P.L. 93-380, Title IV,
Part C, Sec. 403

Expiration Date

September 30, 1978

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1975	$ -0-	$ -0-
	1976	10,000,000	2,090,000
	1977	10,000,000	2,090,000

Program Goals and Objectives

The Act states that the program's purpose is to encourage educational agencies and institutions to prepare students to use the metric system of measurement as part of the regular educational program. The Regulations for this program state its goals as follows: 1) To identify, assess, and disseminate information on metric education curricula as well as to provide support for the development of metric education curricula in elementary and secondary schools, institutions of higher education, and State education agencies; 2) To prepare teachers to teach the use of the revised metric system of measurement on an interdisciplinary basis; and 3) To develop and disseminate curricula materials and practices for special learner populations.

Program Operations

This program solicits proposals for grants and/contracts for the following activities: 1) inservice and/or preservice training of teachers; 2) state- and multi-state metric educational planning; 3) mobile metric education; 4) development and dissemination of materials; 5) mass media development; and 6) school-based interdisciplinary projects with a concurrent training of parents and other adults from the general population.

Program Scope

Five contracts and 72 grants have been awarded by this program as of this date.

The target populations for the Programs' thrusts are: Native Americans, bilingual, the elderly, handicapped and correctional students as well as teachers, teacher trainers, parents and other adults from the general population.

Program Effectiveness and Progress

It will take at least a year of funded project operation before any hard data can be obtained concerning the effectiveness of the program. The program has published guidelines in the Federal Register.

Ongoing and Planning Evaluation Studies

The Program is currently considering the most cost effective strategy for obtaining overall program evaluation information.

Sources of Evaluation Data

Project Monitoring and project operational assessments.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name

Gifted and Talented

Legislation	Expiration Date
Education Amendments of 1974, Section 404	June 30, 1978

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1975	Commissioner's S&E	$ 50,000
	1976	$12,250,000	2,560,000
	1977	12,250,000	2,560,000

Program Goals and Objectives

The Act indicates that the purpose of this program is to provide educational services to gifted and talented children. The program regulations specify the following objectives.

A. The development and dissemination to the public of information pertaining to the education of gifted and talented children and youth.

B. Grants to State and local educational agencies for the planning, development, operation, and improvement of programs and projects designed to meet the special educational needs of the gifted and talented at the preschool, elementary and secondary school levels.

C. Grants to State education agencies for training personnel engaged, or preparing to engage, in educating the gifted and talented or as supervisors of such persons.

D. Grants to institutions of higher education or other appropriate nonprofit agencies for training leadership personnel (including internships) in the education of the gifted and talented.

E. Contracts with public and private agencies for the establishment and operation of model projects for the identification and education of the gifted and talented.

Program Operations

This grant program operates with discretionary funds only, i.e., no State plans or formulas are required.

Fund recipients are expected to conduct a comprehensive on-going evaluation as well as a final evaluation of the program or project.

Program Scope

The following activities were supported through FY 76 expenditures:

A. One contract was awarded for the development and dissemination of information pertaining to the education of gifted and talented youth.

B. Twenty-five grants to States and 18 grants to local education agencies were awarded for the planning, development, operation and implementation of programs and projects designed to meet the special needs of gifted and talented children.

C. Approximately 50% of the awards to State Departments of Education include project components for the preservice and inservice training of educators of the gifted and talendted or supervisors of such persons.

D. Three grants were awarded to institutions of higher education for training leadership personnel (including interships) in the education of the gifted and talented.

E. Six contracts were awarded to public and private agencies for the establishment and operation of model projects for the identification and education of gifted and talented youth.

Program Effectiveness and Progress

No program effectiveness data currently exists, inasmuch as the program is in its first year of funding.

Ongoing and Planned Evaluation Studies

No agency evaluation is currently planned for this program.

Sources of Evaluation Data

Individual project evalution is required by the program regulations. These evaluations together with periodic program reports will serve as a data source for determining program effectiveness and progress.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Community Education

Legislation:	**Expiration Date:**
Education Amendments of 1974, P.L. 93-380, Section 405	June 30, 1978

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1975	-0-	-0-
	1976	$ 17,000,000	$ 3,553,000
	1977	17,000,000	3,553,000

Program Goals and Objectives:

The goals of the community education program as defined by the Act and reiterated in the regulations are to meet the unique needs of any community by:

1. promoting greater utilization of public education facilities through an extension of school buildings;

2. providing educational, recreational, cultural, and other related community services in accordance with the needs, interests, and concerns of the community;

3. promoting interagency cooperation thereby saving money that results from costly duplication of effort.

Program Operations:

Discretionary competitive grants were made to State and local educational agencies to pay the Federal share of the cost of planning, establishing, expanding, and/or operating community education programs. In addition, funds were made available to institutions of higher education to develop and establish or to expand programs which will train persons to plan and operate community education programs. Other components were the establishment of a clearinghouse to disseminate information and the provision of technical assistance to each community education program as needed.

Of the grant funds appropriated under the Act, $1.5 million was made available to State education agencies, $1.5 million to local educational agencies, and $425,000 to institutions of higher education. Local program grant recipients received different Federal shares based upon the status of their program. The Federal share is:

- 80 percentum of a program to establish a new community education program
- 65 percentum of a program to expand or improve a community education program
- 40 percentum of a program to maintain or carry out a community education program

Program Scope:

93 grants have been awarded in Fiscal Year 1976:

Institution	Amount of Appropriation	No. of Grants
LEA	$ 1,564,000	48
SEA	1,564,000	32
IHE	425,000	13

Though authorized, no funds were appropriated for this program in FY 75. The same breakdown for grant awards is anticipated for Fiscal Year 1977.

Ongoing and Planned Evaluation Studies:

The "Act" mandates the Community Education Advisory Council to present to Congress a "complete and thorough evaluation of the programs and operation" of the Community Education Program.

To fulfill this mandate, the Community Education Program is providing OPBE with funds to support a contract to perform such an evaluation. It is anticipated that the contract will be awarded in the Spring of 1977 for a duration of about 10 months. The final report would be presented to Congress in the Spring of 1978 when renewal of authorizing legislation will be considered.

Sources of Evaluation Data:

None exist at this time.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name

Woman's Educational Equity Program

Legislation	**Expiration Date**
Education Amendments of 1974, P.L. 93-380, Section 408	June 30, 1978

FUNDING HISTORY	**YEAR**	**AUTHORIZATION**	**APPROPRIATION**
	1975	$ -0-	$ -0-
	1976	30,000,000	6,270,000
	1977	30,000,000	7,270,000

Program Goals and Objectives

In accordance with the Act, the purpose of the program is to provide educational equity for women in the United States.

The program defines its goals as:

A) The elimination of discrimination on the basis of sex and of those elements of sex role stereotyping and sex role socialization in educational institutions, programs, and curricula which prevent full and fair participation by women in educational programs and in American society generally.

B) The achievement of responsiveness by educational institutions, programs, curricula, policy makers, administrators, instructors, and other personnel to the needs, interests, and concerns of women arising from inequitable educational policies and practices.

Three strategies to implement these goals are:

A) Systematic change by eliminating those elements of sex role stereotyping and sex role socialization which separately, and more importantly, together and over time limit the aspirations, experiences, and options of women.

B) Institutional change through the elimination of discriminatory practices and policies in educational agencies, organizations, and programs which may be contrary to Federal statutes, executive orders, and regulations.

C) Supplementary activities for individuals through special educational opportunities and support services.

Program Operations

The program may receive applications or proposals from any public agency, private nonprofit organization, or individual. They are reviewed by panels which are broadly representative of the concerns of the program. The most highly rated applications are funded, within the mandated requirements both for appropriate geographical distribution and for projects at all levels of education, as well as the regulatory requirement for projects which collectively represent to the extent possible the diverse needs and concerns in educational equity for women. This program, under the Commissioner's approval, is entirely discretionary.

Program Scope

67 grant and 4 major contracts were funded in FY '76. In FY '77 and estimated 23 projects will be continued and 70 new awards made. The program aims at both children and adults, both women and men; ethnic, regional, socioeconomic groups; educational personnel as well as parents, students, and concerned citizens.

Program Effectiveness and Progress

Regulations were published on February 12, 1976. Amendments to reflect new priorities for FY '77 are being developed. No information on effectiveness will be available for at least a year.

Ongoing and Planned Evaluation Studies

The Advisory Council on Women's Educational Programs has a mandated responsibility to evaluate programs and projects. At this time, there are no other plans for such evaluation. There is a contract to develop measurement instruments and to do representative case studies needed to assess program strategies.

Sources of Evaluation Data

None

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name

Arts Education

Legislation — **Expiration Date**

P.L. 93-380, Section 409 — June 30, 1978

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1975	-0-	
	1976	Not less than $ 750,000	$ 750,000
	1977	Not less than 750,000	$ 1,750,000

Program Goals and Objectives

The legislative intent for this program is that it encourages and assist State and local education agencies to establish programs in which the arts are an integral part of elementary and secondary school programs. The program purpose, in accordance with the published regulations, is to:

(1) Encourage the development, in students, of an aesthetic awareness in the arts;

(2) Foster self-actualization and the development of communicative skills through movement, sound visual images, and verbal usage;

(3) Involve each student in each school covered by the application in enjoyment, understanding, creation, and evaluation of, and participation in, the arts;

(4) Address the spectrum of art forms, including at least dance, music, drama, and the visual arts;

(5) Integrate these art forms into the regular educational program as distinguished from treating them on an extra-curricular or peripheral basis; and

(6) Infuse the arts into the curriculum to enhance and improve the quality of aesthetic education offered, and expand the use of the arts for cognitive and affective learning experience.

Program Operations

Grants are awarded to State and local educational agencies on a competitive basis. The John F. Kennedy Center for the Performing Arts through the Alliance for Arts Education, assists with the review of proposals and provides a variety of forms of technical assistance to grant recipients.

Projects funded tend to combine a variety of activities designed to integrate an appreciation of the arts with educational practices. These activities focus on students as well as on teachers (e.g. through training programs) and other education practitioners (e.g. through State and local conferences).

Program Scope

The program used some Salary and Expense monies in FY 1975 to conduct regional conferences and workshops, and to assist States in planning for arts educational programs. Rules and regulations were published in April 1976 and grants were awarded for the first time under this program in July 1976 to 89 recipients: 41 State Departments of Education, one Bureau of Indian Affairs agency, three Trust Territories, and 44 local education agencies in 31 States. Awards ranged from $2,000 to $10,000 each. At the State level, projects funded included a combination of activities such as mini-grants programs for local school districts, statewide conferences to promote the concept of arts in education, state-wide teacher training activities, and publication of newsletters. Local educational projects funded were designed to impact upon one school as well as on a number of schools, and included many of the same activities. Other activities designed to operate at the school level, such as artists in residence programs, were also included in LEA plans.

In the fall of 1976 Congress appropriated an additional $1 million under the program, over and above $750,000 for FY 77 grants to State and local education agencies. This additional $1 million was provided specifically for: the Alliance for Arts Education ($750,000), and the National Committee/Arts for the Handicapped ($250,000).

Program Effectiveness and Progress

Interim and Final Reports on projects are due December 30 and June 30, respectively. State AAE Committee Reports are filed annually.

Ongoing and Planned Evaluation Studies

None

Source of Evaluation Studies

None

ANNUAL EVALUATION REPORT ON
EDUCATION PROGRAMS

Program Name

Consumer Education

Legislation	Expireation Date
Elementary and Secondary Education Act, P.L. 92-318 (as amended by P.L. 93-380)	June 30, 1978

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1977	$ 15,000,000	$ 3,135,000
	1978	15,000,000	3,135,000

Program Goals and Objectives

The Regulations and the Act specify the goals of this program as follows:

> To provide consumer's education to the public, procurement contracts will be ssued for the purpose of identifying, assessing, and disseminating information on existing curricula in consumer's education; and to establish resource centers which will provide technical assistance, information, and short-term training to agencies, institutions and community groups in the carryon of consumers education programs. Grants will be issued for the purpose of planning, estbalishing, expanding, and/or improving model community education programs in consumers' education which are designed to provide consumers' education to the general public in one or more coummnities. Grants may also be issed for the purpose of providing short-term preservice or inservice training for teachers and other educational and non-educational personnel at the elementary and secondary school levels and in consumers' education programs in communities.

Program Operations

The program operates with discretionary funds which are used to support selected proposals following a panel review. There are no restrictions as to the geographical distribution of funds. Projects are designed to prepare consumers for participation in the marketplace by imparting the understanding, attitudes, and skills which will enable persons to make rational and intelligent consumer decisions in the light of their personal values, their recognition of marketplace alternatices and social, economic, and ecological considerations.

The target populations are identified as follows: (1) bilingual, (2) elderly, (3) Indian, (4) handicapped, and (5) correctional.

Program Scope

66 grants and 7 procurement contracts have been awarded by this program in FY 1976. The 66 projects are located in 33 States and are engaged in a variety of activities designed to bring consumer education to diverse population groups. Just over half of the grant recipients are traditional educational agencies -- local school systems State agencies, institutions of higher education, including community colleges. The rest are public or private non-profit agencies -- many community based. There are projects to meet the needs of low-income people, both urban and rural; to work with the elderly in several settings; to bring consumer education to groups whose first language is Spanish, to Native Americans on and off reservations, and to trade unionists.

Over 1,000 teachers and people in key educational leadership positions will have received training on consumer education topics ranging from effective family budgeting all the way to ways of judging advertising and promotional techniques designed to trap the unwary. In community and other non-profit agencies, the stress is placed upon over 1,200 service providers with training and development activities designed to improve their consumer educational effectiveness with regard to specific target groups such as the elderly, handicapped, and low income, rural and urban populations. The focus upon institutional capacity building activities is evidenced in almost all projects by the direct emphasis on the service provider rather than the individual consumer.

The seven procurement contracts have provided valuable information on broad areas of need previously not thoughtfully or carefully examined. By far the largest contract is one focusing on the cntent of consumer and economic education in grades K-12, and the extent to which textbooks, curriculum guides, and other materials reflect this analysis. Smaller contracts address urban government and the consumer, the potential impact of a truly effective national consumer education effort, and a paper on programs of professional preparation for consumer educators. Two manuals are also being prepared under contract. One is a selected consumer education bibliography, and the second has to do with designing and sustaining community consumer education efforts. The final contract was let to develop a system and supporting procedures to assess the aggregate effect of the 66 funded project.

Program Effectiveness and Progress

There were 858 applications in FY 76 for support, of which 839 were eligible applications. Of this latter total, 66 were funded. A larger number of applications is anticipated in FY 77 and approximately the number funded. No comment can be made as to the effectiveness of the program since this is the first year of support of any project activities. It is expected that the Rules and Regulations of the first year will be used for the second year.

Ongoing and Planned Evaluation Studies

A small procurement contract was issued which will assist the Office to define its materials and strategies so that the staff and individual project directors will be able to determine the weakness and strengths in each project.

Sources of Evaluation Data

None at this time.

APPENDIX A

LISTING OF EDUCATION PLANNING AND EVALUATION ACTIVITIES: FY 1976

March 18, 1977

LISTING OF EDUCATION PLANNING AND EVALUATION ACTIVITIES: FY 1976

Required by Section 417(b) of the General Education Provisions Act, P.L. 93-380, as amended

Listing of Contracts (including brief description, name of contractor, and funding history)

Page

10000 Series: Elementary & Secondary Education 3

20000 Series: Vocational and Adult Education 10

30000 Series: Higher Education 12

50000 Series: Education for the Handicapped 15

60000 Series: Libraries and Educational Technology 16

80000 Series: General 17

90000 Series: Miscellaneous 18

-This listing includes all contracts containing FY 1976 funds plus all contracts any part of the performance of which occurred during FY 1976.

-"ED" numbers indicate ERIC accession numbers of reports. "ED's" with no numbers indicate that reports have been sent to ERIC but are not yet accessible as of the date of this run.

-All funds are "P&E" unless otherwise indicated under "Description of Contract."

-FY 77 funds shown were obligated during the "Transition Quarter", July through September 1976.

SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF MARCH 18, 1977

SER. NO.	PROJ. CODE	CONTRACT NUMBER	DESCRIPTION OF CONTRACT	CONTRACTOR NAME, LOCATION, AND TYPE, START AND END DATES	PROJECT MONITOR & ORGANIZATION	OBLIG. DOLLARS
1. ELEMENTARY & SECONDARY EDUCATION						
10001		OEC-0-70-4789 COMPLETED ED FUNDING HISTORY, FY 70: 349354 71: 397256 72: 476385 73: 249846 74: 97987 75: 233597	COOPERATIVE LONGITUDINAL STUDY OF DEMONSTRATION EDUCATION PROGRAMS	AMERICAN INSTITUTES FOR RESEARCH PALO ALTO, CAL. (N) 6/30/70 TO 9/30/76	MAYESKE OPPE	1804425
11215		OEC-0-71-3715 COMPLETED ED130264,130257-64 FUNDING HISTORY, FY 71: 317156 72: 989910 73: 1943441 75: 148514 76: 4657	LARGE SCALE EVALUATION OF COMPENSATORY READING AND READING-RELATED EFFORTS IN THE ELEMENTARY GRADES	EDUCATIONAL TESTING SERVICE PRINCETON N.J. (N) 6/30/71 TO 7/31/76	MAYESKE OPPE	3403678
12001		OEC-0-72-5221 COMPLETED--REPORT AVAILABLE ED104821, 108768, 9 FUNDING HISTORY, FY 72: 877769 73: 778587 74: 46876 76: 2358	FOLLOW THROUGH NATIONAL EVALUATION: DATA ANALYSIS (FOLLOW THROUGH FUNDS)	ABT ASSOCIATES CAMBRIDGE MASS. (P) 6/30/72 TO 1/15/75	TUCKER OPPE	1705590
13117		HEW-OS-73-216 ED098557,100924-31 FUNDING HISTORY, FY 73: 1186419 74: 60899 75: 92134	A STUDY OF CHANGE-AGENT PROGRAMS (INCLUDES $476,253 FY 73 SEE FUNDS)	THE RAND CORPORATION SANTA MONICA CAL. (N) 6/30/73 TO 6/30/77	BEZDEK OPPE	1339452
13801		OEC-0-73-6341 COMPLETED--REPORT AVAILABLE ED131156,5 FUNDING HISTORY, FY 73: 997934	STUDY OF THE IDENTIFICATION OF EXEMPLARY DESEGREGATED SCHOOLS AND EVALUATION OF THE DETERMINANTS OF SUCCESS (ESAA FUNDS)	EDUCATIONAL TESTING SERVICE PRINCETON N.J. (N) 5/22/73 TO 8/31/76	YORK OPPE	997934
13802		OEC-0-73-0931 ED101017,117228 FUNDING HISTORY, FY 73: 981691 74: 1067568 75: 736099 76: 319773	LONGITUDINAL EVALUATION OF THE EMERGENCY SCHOOL ASSISTANCE ACT PILOT PROGRAM (ESAA FUNDS)	SYSTEM DEVELOPMENT CORP. SANTA MONICA, CAL. (P) 2/14/73 TO 11/30/77	SHOEMAKER OPPE	3105131

SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF MARCH 18,1977

SER. NO.	PROJ. CODE	CONTRACT NUMBER	DESCRIPTION OF CONTRACT	CONTRACTOR NAME, LOCATION, AND TYPE, START AND END DATES		PROJECT MONITOR & ORGANIZATION	OBLIG. DOLLARS
13805		OEC-0-73-6336 ED101017,117229 FUNDING HISTORY, FY 73: 1370905 74: 1421432 75: 1520819 76: 479660	EVALUATION OF THE EMERGENCY SCHOOL AID ACT BASIC LEA PROGRAM (ESAA FUNDS) (INCLUDES $72,600 FY 73 SEE FUNDS)	SYSTEM DEVELOPMENT CORP. SANTA MONICA, CAL. 6/ 1/73 TO 11/30/77	(P)	SHOEMAKER OPBE	479282[illegible]
14002		OEC-0-74-9182 COMPLETED--REPORT AVAILABLE ED118694 FUNDING HISTORY, FY 74: 160000 75: 86284	STATE ESEA TITLE I REPORTS: REVIEW AND ANALYSIS OF PAST REPORTS AND DEVELOPMENT OF A MODEL REPORTING SYSTEM AND FORMAT	RMC RESEARCH CORPORATION BETHESDA, MD. 6/30/74 TO 10/31/75	(P)	ANDERSON OPBE	246284
14003		OEC-0-74-9262 ED FUNDING HISTORY, FY 74: 238095 75: 95958 76: 14[illegible]876	EVALUATION OF TITLE IV OF THE CIVIL RIGHTS ACT OF 1964	THE RAND CORPORATION SANTA MONICA CAL. 6/27/74 TO 4/15/77	(N)	YORK OPBE	487929
14004		OEC-0-74-9256 ED122373,4,5,122460 FUNDING HISTORY, FY 74: 829228 75: 851263 76: 65985	EVALUATION OF THE FIELD TEST OF PROJECT INFORMATION PACKAGES (PIPS FUNDS IN FY '75 & FY 76)	STANFORD RESEARCH INSTITUTE MENLO PARK, CALIF. 6/30/74 TO 3/31/77	(N)	BEZDEK OPBE	1746476
14005		OEC-0-74-9331 ED122893,4 FUNDING HISTORY, FY 74: 828312 75: 500000 76: 683967	EVALUATION OF THE BILINGUAL ED PROG (INCLUDES 500K SEC 232 FUNDS IN BOTH FY 74 & FY 75) (SEE ALSO 16010)	AMERICAN INSTITUTES FOR RESEARCH PALO ALTO, CAL. 6/30/74 TO 11/30/77	(N)	SHOEMAKER OPBE	2012279
14011		OEC-0-74-3582 FUNDING HISTORY, FY 74: 2770900 75: 1301386 76: 869116	FOLLOW THROUGH NATIONAL EVALUATION: DATA COLLECTION AND DATA PROCESSING (CONTINUATION OF 19191) (FOLLOW THROUGH FUNDS)	STANFORD RESEARCH INSTITUTE MENLO PARK, CALIF. 10/12/73 TO 12/31/78	(N)	IWAMOTO OPBE	4941402

SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF MARCH 18, 1977

SEQ. NO.	PROJ. CODE	CONTRACT NUMBER	DESCRIPTION OF CONTRACT	CONTRACTOR NAME, LOCATION, AND TYPE, START AND END DATES	PROJECT MONITOR & ORGANIZATION	OBLIG. DOLLARS
14902		OEC-0-74-0394 FUNDING HISTORY, FY 74: 248114 75: 50000 76: 211715	TECHNICAL ASSISTANCE / SPECIAL STUDIES OF THE FOLLOW THROUGH PROGRAM (CONTINUATION OF 13902) (FOLLOW THROUGH FUNDS)	HURON INSTITUTE BOSTON, MASS. (N) 9/20/73 TO 8/31/77	BURNS OPBE	509829
15001		300-75-0332 FUNDING HISTORY, FY 75: 4025600 76: 2149947 77: 224301	EVALUATION OF THE SUSTAINING EFFECTS OF COMPENSATORY EDUCATION (TITLE I FUNDS)	SYSTEM DEVELOPMENT CORP. SANTA MONICA, CAL. (P) 7/ 1/75 TO 12/31/81	MAYESKE OPBE	6399848
15002	E3	300-75-0212 FUNDING HISTORY, FY 75: 665730 76: 35465	FURTHER DOCUMENTATION OF THE STATE TITLE I REPORTING MODELS (TITLE I FUNDS IN FY 76)	RMC RESEARCH CORPORATION MOUNTAIN VIEW, CAL. (P) 6/16/75 TO 6/30/77	ANDERSON OPBE	701195
15003		300-75-0211 COMPLETED--REPORT AVAILABLE ED120963 FUNDING HISTORY, FY 75: 70414 76: 33487	STUDY OF LATE FUNDING OF ELEMENTARY AND SECONDARY PROGRAMS	PEAT, MARWICK, MITCHELL & CO. WASHINGTON, D.C. (P) 4/23/75 TO 2/29/76	SPITZER OPBE	103901
15004		300-75-0353 FUNDING HISTORY, FY 75: 349999	A STUDY OF STATE PROGRAMS IN BILINGUAL EDUCATION (INCLUDES $332,059 OF FY75 SSE FUNDS)	DEVELOPMENT ASSOCIATES, INC. WASHINGTON, D.C. (P) 7/ 1/75 TO 11/30/77	OKADA OPBE	349999
15005		300-75-0260 FUNDING HISTORY, FY 75: 418358 76: 131517	EVALUATION OF THE ESEA TITLE III DIFFUSION-ADOPTION NETWORK	STANFORD RESEARCH INSTITUTE MENLO PARK, CALIF. (N) 7/ 1/75 TO 4/30/77	BEZDEK OPBE	549875
15006		300-75-0177 COMPLETED FUNDING HISTORY, FY 75: 14599	DEVELOPING A GUIDE TO BUILDING, EVALUATING, AND USING CRITERION-REFERENCED TESTS	AMERICAN INSTITUTES FOR RESEARCH WASHINGTON, D.C. (N) 3/ 1/75 TO 7/31/76	ANDERSON OPBE	14599
15007		300-75-0358 FUNDING HISTORY, FY 75: 351708 76: 113238	DEVELOPMENT OF SIX COMPENSATORY ED PIPS AND FOUR BILINGUAL ED PIPS (PIPS FUNDS)	CEMREL, INC. ST. LOUIS, MO. (N) 7/ 1/75 TO 4/30/77	HULTEN OPBE	464946

SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF MARCH 18,1977

SER. NO.	PRG. CODE	CONTRACT NUMBER	DESCRIPTION OF CONTRACT	CONTRACTOR NAME, LOCATION, AND TYPE, START AND END DATES		PROJECT MONITOR & ORGANIZATION	OBLIG. DOLLARS
15901		300-75-0106 COMPLETED--REPORT AVAILABLE ED124671.? FUNDING HISTORY, FY 75: 58869	FURTHER ANALYSIS OF ESAP-II EVALUATION DATA	THE RAND CORPORATION SANTA MONICA CAL. 10/19/74 TO 10/17/75	(N)	YORK OPBE	58869
15901		300-75-0134 FUNDING HISTORY, FY 75: 668895 76: 1120918	FOLLOW THROUGH EVALUATION--DATA ANALYSIS (FOLLOW THROUGH FUNDS)	ABT ASSOCIATES CAMBRIDGE MASS. 2/ 7/75 TO 6/30/77	(P)	TUCKER OPBE	1789813
15902		300-75-0233 FUNDING HISTORY, FY 75: 346114 76: 34018	COST ANALYSIS STUDY OF FOLLOW THROUGH PROJECTS (FOLLOW THROUGH FUNDS)	RMC RESEARCH CORPORATION BETHESDA, MD. 5/19/75 TO 6/30/77	(P)	IWAMOTO OPBE	380132
16001		300-76-0002 COMPLETED FUNDING HISTORY, FY 76: 243495	REVISION OF SIX PROJECT INFORMATION PACKAGES AND THE ANALYSIS AND SELECTION KIT (PIPS FUNDS)	RMC RESEARCH CORPORATION MOUNTAIN VIEW, CAL. 7/ 9/75 TO 6/30/76	(P)	HULTEN OPBE	243495
16002		300-76-0394 COMPLETED FUNDING HISTORY, FY 76: 2814	EVALUATION OF CHILDREN'S AFFECTIVE DEVELOPMENT	WALKER, DEBORAH KLEIN CAMBRIDGE, MASS. 1/27/76 TO 8/31/76	(I)	ANDERSON OPBE	2814
16003		300-76-0076 COMPLETED FUNDING HISTORY, FY 76: 29930	SUPPORT SERVICES TO CONFERENCE ON ACHIEVEMENT TESTING	JOHNSON, LAWRENCE & ASSOCIATES WASHINGTON, D. C. 2/ 2/76 TO 6/30/76	(P)	WARGO OPBE	29930
16004		300-76-0093 FUNDING HISTORY, FY 76: 257929 77: 254535	EVALUATION OF THE TITLE I PROGRAM IN STATE INSTITUTIONS FOR NEGLECTED AND DELINQUENT CHILDREN ($254,535 TITLE I FUNDS IN 77)	SYSTEM DEVELOPMENT CORP. SANTA MONICA, CAL. 2/ 9/76 TO 8/31/78	(P)	ANDERSON OPBE	512464
16005		300-76-0095 FUNDING HISTORY, FY 76: 341705 77: 456947	EVALUATION OF THE IMPACT OF THE ESEA TITLE I MIGRANT PROGRAM (TITLE I FUNDS)	RESEARCH TRIANGLE INSTITUTE DURHAM, N. C. 2/ 9/76 TO 7/31/77	(N)	HULTEN OPBE	798652

SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF MARCH 10, 1977

SER. NO.	PROJ. CODE	CONTRACT NUMBER	DESCRIPTION OF CONTRACT	CONTRACTOR NAME, LOCATION, AND TYPE, START AND END DATES		PROJECT MONITOR & ORGANIZATION	OBLIG. DOLLARS
16006		300-76-0251	DEVELOPMENT OF HANDBOOK ON THE RESOURCE APPROACH TO PROJECT COST ANALYSIS (TITLE I FUNDS)	RMC RESEARCH CORPORATION BETHESDA, MD. 5/24/76 TO 6/30/77	(P)	ANDERSON OPBE	16392
FUNDING HISTORY, FY 76:		16392					
16007	COMPLETED	300-76-0260	PREPARATION AND PRESENTATION OF DISCUSSION PAPER AT INVITATIONAL CONFERENCE ON TESTING (TITLE I FUNDS)	VEALE, JAMES R. BERKELEY, CAL. 5/27/76 TO 6/17/76	(I)	ANDERSON OPBE	2300
FUNDING HISTORY, FY 76:		2300					
16008		300-76-0265	THE DEVELOPMENT OF MODELS FOR THE EVALUATION AND REPORTING OF NON-INSTRUCTIONAL SERVICES IN TITLE I (TITLE I FUNDS)	RMC RESEARCH CORPORATION BETHESDA, MD. 6/ 1/76 TO 9/30/77	(P)	BURNES OPBE	376426
FUNDING HISTORY, FY 76:		376426					
16009		300-76-0316	TITLE I EVALUATION WORKSHOPS (TITLE I FUNDS)	RMC RESEARCH CORPORATION MOUNTAIN VIEW, CAL. 7/ 1/76 TO 6/30/77	(P)	ANDERSON OPBE	364434
FUNDING HISTORY, FY 76:		364434					
16010		OEC-C-74-9131	PREPARATION OF HANDBOOK ON EVALUATION OF BILINGUAL PROJECTS (TITLE I FUNDS) CARD ON TO PROJECT 14305)	AMERICAN INSTITUTES FOR RESEARCH PALO ALTO, CAL. 5/30/76 TO 9/30/77	(N)	SHOEMAKER OPBE	23000
FUNDING HISTORY, FY 76:		23000					
16011		300-76-0541	OPERATION OF ESEA TITLE I TECHNICAL ASSISTANCE CENTER--REGION I (TITLE I FUNDS)	RMC RESEARCH CORPORATION BETHESDA, MD. 10/ 1/76 TO 12/31/77	(P)	FISHBEIN OPBE	116407
FUNDING HISTORY, FY 76:		116407					
16012		300-76-0542	OPERATION OF ESEA TITLE I TECHNICAL ASSISTANCE CENTER--REGION II (TITLE I FUNDS)	EDUCATIONAL TESTING SERVICE PRINCETON N.J. 10/ 1/76 TO 12/31/77	(N)	FISHBEIN OPBE	108037
FUNDING HISTORY, FY 76:		108037					
16013		300-76-0543	OPERATION OF ESEA TITLE I TECHNICAL ASSISTANCE CENTER--REGION III (TITLE I FUNDS)	NATIONAL TESTING SERVICE DURHAM, N.C. 10/ 1/76 TO 12/31/77	(N)	FISHBEIN OPBE	109548
FUNDING HISTORY, FY 76:		109548					
16014		300-76-0544	OPERATION OF ESEA TITLE I TECHNICAL ASSISTANCE CENTER--REGION IV (TITLE I FUNDS)	EDUCATIONAL TESTING SERVICE ATLANTA, GA. 10/ 1/76 TO 12/31/77	(N)	FISHBEIN OPBE	112519
FUNDING HISTORY, FY 76:		112519					

SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF MARCH 19,1977

SER. NO.	PROJ. CODE	CONTRACT NUMBER	DESCRIPTION OF CONTRACT	CONTRACTOR NAME, LOCATION, AND TYPE, START AND END DATES	PROJECT MONITOR & ORGANIZATION	OBLIG. DOLLARS
16015		300-76-0545 FUNDING HISTORY, FY 76: 112403	OPERATION OF ESEA TITLE I TECHNICAL ASSISTANCE CENTER--REGION V (TITLE I FUNDS)	EDUCATIONAL TESTING SERVICE EVANSTON, ILL. (N) 10/ 1/76 TO 12/31/77	FISHBEIN OPBE	112403
16016		300-76-0546 FUNDING HISTORY, FY 76: 120630	OPERATION OF ESEA TITLE I TECHNICAL ASSISTANCE CENTER--REGION VI (TITLE I FUNDS)	RESOURCE DEVELOPMENT INSTITUTE AUSTIN, TEXAS (P) 10/ 1/76 TO 12/31/77	FISHBEIN OPBE	120630
16017		300-76-0547 FUNDING HISTORY, FY 76: 118008	OPERATION OF ESEA TITLE I TECHNICAL ASSISTANCE CENTER--REGION VII (TITLE I FUNDS)	AMERICAN INSTITUTES FOR RESEARCH PALO ALTO, CAL. (N) 10/ 1/76 TO 12/31/77	FISHBEIN OPBE	118008
16018		300-76-0549 FUNDING HISTORY, FY 76: 114772	OPERATION OF ESEA TITLE I TECHNICAL ASSISTANCE CENTER--REGION VIII (TITLE I FUNDS)	NORTHWEST REGIONAL LABORATORY PORTLAND ORE. (N) 10/ 1/76 TO 12/31/77	FISHBEIN OPBE	114772
16019		300-76-0560 FUNDING HISTORY, FY 76: 111605	OPERATION OF ESEA TITLE I TECHNICAL ASSISTANCE CENTER--REGION IX (TITLE I FUNDS)	NORTHWEST REGIONAL LABORATORY PORTLAND ORE. (N) 10/ 1/76 TO 12/31/77	FISHBEIN OPBE	111605
16020		300-76-0550 FUNDING HISTORY, FY 76: 109771	OPERATION OF ESEA TITLE I TECHNICAL ASSISTANCE CENTER--REGION X (TITLE I FUNDS)	NORTHWEST REGIONAL LABORATORY PORTLAND ORE. (N) 10/ 1/76 TO 12/31/77	FISHBEIN OPBE	109771
16021		300-76-0504 FUNDING HISTORY, FY 76: 5000	PREPARATION OF REVISED HANDBOOK ON EVALUATING CHILDREN'S AFFECTIVE DEVELOPMENT (WITH APPENDIX) (TITLE I FUNDS)	WALKER, DEBORAH KLEIN CAMBRIDGE, MASS. (I) 10/ 1/76 TO 4/ 1/77	ANDERSON OPBE	5000
16022		300-76-0358 FUNDING HISTORY, FY 76: 63185	STUDY OF BILINGUAL CURRICULUM DEVELOPMENT ACTIVITIES	DEVELOPMENT ASSOCIATES, INC. WASHINGTON, D.C. (P) 7/ 1/76 TO 5/31/78	OKADA OPBE	63185
16023 COMPLETED		300-75-7233 FUNDING HISTORY, FY 76: 10042	FOLLOW THROUGH SPONSOR GRANT AMENDMENT (FOLLOW THROUGH FUNDS)	NORTH DAKOTA, UNIVERSITY OF GRAND FORKS, N.D. (A) 7/12/76 TO 10/ 1/76	IWAMOTO OPBE	10042

SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF MARCH 18,1977

SEQ. NO.	PROJ. CODE	CONTRACT NUMBER	DESCRIPTION OF CONTRACT	CONTRACTOR NAME, LOCATION, AND TYPE, START AND END DATES		PROJECT MONITOR & ORGANIZATION	OBLIG. DOLLARS
16024 COMPLETED		G00-750-7231	FOLLOW THROUGH SPONSOR GRANT AMENDMENT (FOLLOW THROUGH FUNDS)	FAR WEST LABORATORY SAN FRANCISCO, CAL. 7/12/76 TO 10/ 1/76	(N)	IWAMOTO OPBE	14500
FUNDING HISTORY, FY 76:		14500					
16025 COMPLETED		G00-750-7225	FOLLOW THROUGH SPONSOR GRANT AMENDMENT (FOLLOW THROUGH FUNDS)	HIGH/SCOPE ED RES FOUNDATION YPSILANTI, MICH. 7/12/76 TO 10/ 1/76	(N)	IWAMOTO OPBE	12500
FUNDING HISTORY, FY 76:		12500					
16026 COMPLETED		G00-750-7235	FOLLOW THROUGH SPONSOR GRANT AMENDMENT (FOLLOW THROUGH FUNDS)	FORDHAM UNIVERSITY BRONX, N.Y. 7/12/76 TO 10/ 1/76	(B)	IWAMOTO OPBE	8459
FUNDING HISTORY, FY 76:		8459					
16027 COMPLETED		G00-750-7241	FOLLOW THROUGH SPONSOR GRANT AMENDMENT (FOLLOW THROUGH FUNDS)	HAMPTON INSTITUTE HAMPTON, VA. 7/ 1/76 TO 10/ 1/76	(B)	IWAMOTO OPBE	7915
FUNDING HISTORY, FY 76:		7915					
16028		300-76-0433	EVALUATION OF EMERGENCY SCHOOL AID ACT (ESAA) IMPLEMENTATION AND IMPACT AT THE REGIONAL LEVEL (ESAA FUNDS)	APPLIED URBANETICS, INC. WASHINGTON, D.C. 8/20/76 TO 1/19/78	(P)	YORK OPBE	124459
FUNDING HISTORY, FY 76:		124459					
16029		300-76-0311	EVALUATION OF THE EMERGENCY SCHOOL AID ACT NON-PROFIT ORGANIZATION PROGRAM (ESAA FUNDS)	THE RAND CORPORATION SANTA MONICA CAL. 6/ 5/76 TO 5/31/78	(N)	YORK OPBE	707992
FUNDING HISTORY, FY 76:		707992					
16031		300-76-0339	EVALUATION OF PROJECT INFORMATION (PIPS) DISSEMINATION AND IMPLEMENTATION (PIPS FUNDS)	AMERICAN INSTITUTES FOR RESEARCH PALO ALTO, CAL. 7/ 1/76 TO 12/ 1/78	(N)	BURNES OPBE	423695
FUNDING HISTORY, FY 76:		423695					
17001		300-76-0453	DEVELOPMENT OF HANDBOOK ON BIAS IN ACHIEVEMENT TESTING	VEALE, JAMES R. BERKELEY, CAL. 6/30/76 TO 6/11/77	(I)	ANDERSON OPBE	8200
FUNDING HISTORY, FY 77:		8200					

SUMMARY OF PLANNING AND EVALUAT[illegible]N CONTRACTS AS OF MARCH 18,1977

SEQ. NO.	PROJ. CODE	CONTRACT NUMBER	DESCRIPTION OF CONTRACT	CONTRACTOR NAME, LOCATION, AND TYPE, START AND END DATES		PROJECT MONITOR & ORGANIZATION	OBLIG. DOLLARS
2. VOCATIONAL AND ADULT EDUCATION							
23034		OEC-0-73-6663 COMPLETED--REPORT AVAILABLE ED 115475,117185 FUNDING HISTORY, FY 73: 258605 74: 9912 75: 83471	EVALUATION OF VOCATIONAL EXEMPLARY PROGRAMS (INCLUDING CAREER EDUCATION EVALUATION GUIDE)	DEVELOPMENT ASSOCIATES, INC. WASHINGTON, D.C. 6/19/73 TO 9/30/75	(P)	SCATES OPBE	351988
23401		OEC-0-73-6666 COMPLETED FUNDING HISTORY, FY 73: 560000 74: 300000	FIRST FULL-SCALE FOLLOW-UP SURVEY FOR NATL LONGITUDINAL STUDY OF HS CLASS OF 1972 (VOC ED PORTION FUNDED BY OPBE)	RESEARCH TRIANGLE INSTITUTE DURHAM, N. C. 6/30/73 TO 6/30/76	(N)	TABLER NCES	860000
24[illegible]1		OEC-[illegible]-74-[illegible] COMPLETED--REPORT AVAILABLE ED FUNDING HISTORY, FY 74: 390711 75: 25139 76: 7703	ASSESSMENT OF SCHOOL-SUPERVISED WORK EDUCATION PROGRAMS	OLYMPUS RESEARCH CORP. SALT LAKE CITY, UTAH 6/27/74 TO 6/30/76	(N)	SHULER OPBE	423553
24002		OEC-0-74-9346 COMPLETED--REPORT AVAILABLE ED 122043,4,5 FUNDING HISTORY, FY 74: 177300 76: 17084	RESEARCH AND EVALUATION ON ADULT EDUCATION AND THE SPECIAL PROJECTS PROGRAM	KIRSCHNER ASSOCIATES WASHINGTON, D.C. 6/29/74 TO 2/29/76	(P)	SCATES OPBE	194384
25001		300-75-0333 COMPLETED--REPORT AVAILABLE ED FUNDING HISTORY, FY 75: 176295	BILINGUAL VOCATIONAL TRAINING	KIRSCHNER ASSOCIATES ALBUQUERQUE, N.M. 6/30/75 TO 6/30/76	(P)	SHULER OPBE	176295
25[illegible]		300-75-0245 COMPLETED--REPORT AVAILABLE ED 122168 FUNDING HISTORY, FY 75: 308640 76: 28675	SURVEY OF CAREER EDUCATION IN THE PUBLIC SCHOOLS (CAREER ED FUNDS FY75	AMERICAN INSTITUTES FOR RESEARCH PALO ALTO, CAL. 6/ 1/75 TO 3/31/76	(N)	SCATES OPBE	337315
25007		300-75-0717 FUNDING HISTORY, FY 75: 191355	ANALYSIS OF POSTSECONDARY OCCUPATIONAL AND EDUCATIONAL OUTCOMES FOR HS CLASS OF 1972	EDUCATIONAL TESTING SERVICE PRINCETON N.J. 6/27/75 TO 4/15/77	(N)	FLEMING OPBE	191355

SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF MARCH 18, 1977

SER. NO.	PROJ. CODE	CONTRACT NUMBER	DESCRIPTION OF CONTRACT	CONTRACTOR NAME, LOCATION, AND TYPE, START AND END DATES		PROJECT MONITOR & ORGANIZATION	OBLIG. DOLLARS
25004		300-75-0342 COMPLETED--REPORT AVAILABLE ED FUNDING HISTORY, FY 75: 339481 76: 10073	VOCATIONAL EDUCATION PROGRAMS FOR DISADVANTAGED STUDENTS	OLYMPUS RESEARCH CORP. SALT LAKE CITY, UTAH 6/30/75 TO 12/31/76	(N)	SHULER OPBE	349554
26001		300-76-0315 FUNDING HISTORY, FY 76: 341992	ASSESSMENT OF AREA VOCATIONAL EDUCATION FACILITIES AND CONSTRUCTION RESOURCES	WESTAT, INC. ROCKVILLE, MD. 7/ 1/76 TO 6/30/77	(P)	HALL OPBE	341992

SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF MARCH 18,1977

SER. NO.	PRO. CODE	CONTRACT NUMBER	DESCRIPTION OF CONTRACT	CONTRACTOR NAME, LOCATION, AND TYPE, START AND END DATES		PROJECT MONITOR & ORGANIZATION	OBLIG. DOLLARS
3. HIGHER EDUCATION							
33000		OEC-0-73-7052 COMPLETED--REPORT AVAILABLE ED121994,5 ,131150-3 FUNDING HISTORY, FY 73: 715891 74: 46709 75: 43503	AN EVALUATION OF THE TALENT SEARCH AND UPWARD BOUND PROGRAMS (SEE ALSO 36011)	RESEARCH TRIANGLE INSTITUTE DURHAM, N. C. 6/30/73 TO 4/30/76	(N)	BERLS OPBE	806103
34117		HEW-OS-74-262 COMPLETED--REPORT AVAILABLE ED109510,11 FUNDING HISTORY, FY 74: 49923	STUDY OF COOPERATIVE EDUCATION	CONSAD RESEARCH CORP. PITTSBURGH, PA. 6/29/74 TO 7/15/75	(P)	HERSHNER OPBE	49923
35003		300-75-0343 FUNDING HISTORY, FY 75: 399587 76: 77000	COOPERATIVE EDUCATION: A NATIONAL ASSESSMENT	APPLIED MANAGEMENT SCIENCES INC SILVER SPRING, MD. 7/ 1/75 TO 6/30/77	(P)	HERSHNER OPBE	476587
35005		300-75-0382 FUNDING HISTORY, FY 75: 677200 76: 452830	STUDY OF IMPACT OF STUDENT FINANCIAL AID PROGRAMS--PHASE II (INCLUDES $150,000 BEOGS FUNDS IN 75 & $251,[illegible] BEOGS FUNDS IN 76)	HIGHER EDN RESEARCH INSTITUTE LOS ANGELES, CALIF. 7/ 1/75 TO 12/31/77	(N)	HAINES OPBE	1130030
[illegible]		300-75-0321 FUNDING HISTORY, FY 75: 135021 76: 35244	DATA BASE ESTIMATION OF IMPACT OF TITLE III HEA (DEVELOPING INSTITUTIONS)	HARVARD UNIVERSITY CAMBRIDGE, MASS. 6/30/75 TO 9/30/77	(P)	CORRALLO OPBE	170265
35006		300-75-0196 COMPLETED FUNDING HISTORY, FY 75: 97700	ANALYSIS OF GSLP DATA BASE	SYSTEMS GROUP INC. WASHINGTON, D.C. 5/ 1/75 TO 6/30/76	(P)	MORRISSEY OPBE	97700
35007		300-75-0383 FUNDING HISTORY, FY 75: 227288 76: 46129	STUDY OF FEDERAL ELIGIBILITY AND CONSUMER PROTECTION STRATEGIES	AMERICAN INSTITUTES FOR RESEARCH PALO ALTO, CAL. 7/ 1/75 TO 6/30/77	(N)	GREEN OPBE	273417

SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF MARCH 10,1977

SER. NO.	PROJ. CODE	CONTRACT NUMBER	DESCRIPTION OF CONTRACT	CONTRACTOR NAME, LOCATION, AND TYPE, START AND END DATES		PROJECT MONITOR & ORGANIZATION	OBLIG. DOLLARS
35009 COMPLETED FUNDING HISTORY, FY 75: 24453		300-75-0129	DEVELOPMENT OF RESEARCH DATA BASE FOR GUARANTEED STUDENT LOAN PROGRAM	OPINION RESEARCH CORP. PRINCETON, N.J. 5/13/75 TO 9/ 1/75	(P)	MORRISSEY OPBE	24453
35010 COMPLETED--REPORT AVAILABLE ED121160 FUNDING HISTORY, FY 75: 61000 76: 2442		[illegible]-74-136	TAXONOMIC ANALYSIS OF INSTITUTIONAL DOMAIN OF HIGHER EDUCATION	NATIONAL SCIENCE FOUNDATION WASHINGTON, D. C. 7/ 1/74 TO 12/31/75	(F)	RATNOFSKY OPBE	63442
35011 COMPLETED FUNDING HISTORY, FY 75: 3974		[illegible]-75-1161	ANALYSIS OF THE APPLICATION REVIEW PROCESS UTILIZING THE REGION V APPLICATION DATA FILES	GENERAL RESEARCH CORP MCLEAN, VA. 3/31/75 TO 2/28/76	(P)	ITO OPBE	3974
36001 COMPLETED FUNDING HISTORY, FY 76: 4432		300-75-0063	REANALYSIS OF SPECIAL SERVICES PROGRAM FOR DISADVANTAGED STUDENTS, IN HIGHER EDUCATION	TINTO, VINCENT SYRACUSE, N. Y. 5/22/75 TO 3/31/76	(I)	BERLS OPBE	4432
36002 COMPLETED FUNDING HISTORY, FY 76: 5432		300-76-0073	PREPARATION OF FINAL REPORT ON SURVEY OF GSLP LENDERS	RMC RESEARCH CORPORATION BETHESDA, MD. 11/ 7/75 TO 12/31/76	(P)	MORRISSEY OPBE	5432
36003 COMPLETED FUNDING HISTORY, FY 76: 23980		300-76-0375	UPDATING AND USING THE (GSL) RESEARCH DATA BASE	OPINION RESEARCH CORP. PRINCETON, N.J. 1/ 7/76 TO 5/ 5/76	(P)	MORRISSEY OPBE	23980
36004 COMPLETED--REPORT AVAILABLE FUNDING HISTORY, FY 76: 11401		300-76-0087	REVIEW AND UPDATE OF REPORT ENTITLED "POSITIONS AND CONSTRAINTS: A STUDY OF POST HIGH SCHOOL ACADEMIC OUTCOMES" ETC.	COLUMBIA UNIVERSITY(BASR) NEW YORK N.Y. 2/25/76 TO 6/24/76	(R)	PEPPE OPBE	11401
37005 FUNDING HISTORY, FY 76: 2[illegible]4319		300-76-0277	A REVIEW OF STATE OVERSIGHT IN POSTSECONDARY EDUCATION	AMERICAN INSTITUTES FOR RESEARCH PALO ALTO, CAL. 7/ 1/76 TO 6/30/77	(N)	GAFFN OPBE	2[illegible]4319
37236 FUNDING HISTORY, FY 76: 157155		300-76-0376	STUDY OF THE STATE STUDENT INCENTIVE GRANT PROGRAM AND STATE SCHOLARSHIP PROGRAM	EDUCATION COMM. FOR THE STATES DENVER, COLO. 8/ 1/76 TO 7/31/77	(N)	HAINES OPBE	157155

SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF MARCH 19,1977

SEQ. NO.	PROJ. CODE	CONTRACT NUMBER	DESCRIPTION OF CONTRACT	CONTRACTOR NAME, LOCATION, AND TYPE, START AND END DATES		PROJECT MONITOR & ORGANIZATION	OBLIG. DOLLARS
36007		300-76-0514	STUDY OF SELECTED INSTITUTIONS AND STUDENTS PARTICIPATING IN THE FEDERALLY INSURED STUDENT LOAN PROGRAM	CRESAP, MCCORMICK & PAGET WASHINGTON, D.C. 9/29/76 TO 12/31/77	(P)	MORRISSEY OPBE	278811
FUNDING HISTORY, FY 76: 278811							
36009		300-76-0539	EVALUATION OF DEMONSTRATION MODELS FOR THE SPECIAL PROGRAMS FOR STUDENTS FROM DISADVANTAGED BACKGROUNDS	SYSTEM DEVELOPMENT CORP. SANTA MONICA, CAL. 9/30/76 TO 6/30/82	(P)	BERLS OPBE	439510
FUNDING HISTORY, FY 76: 439510							
36010		300-76-0535	STUDY OF NON-RESIDENTIAL POSTSECONDARY STUDENT EXPENDITURES	APPLIED MANAGEMENT SCIENCES INC SILVER SPRING, MD. 9/30/76 TO 1/31/78	(P)	KUCH OPBE	42931
FUNDING HISTORY, FY 76: 42931							
36012		IAD-C-74-036	HIGHER EDUCATION PANEL	NATIONAL SCIENCE FOUNDATION WASHINGTON, D. C. 7/ 1/76 TO 6/30/77	(F)	RATNOFSKY OPBE	62900
FUNDING HISTORY, FY 76: 62900							
36011		OEC-0-73-7162	AN EVALUATION OF UPWARD BOUND: A FOLLOW-UP (SEE ALSO 33009)	RESEARCH TRIANGLE INSTITUTE DURHAM, N. C. 9/21/76 TO 8/31/77	(N)	CARROLL OPBE	157761
FUNDING HISTORY, FY 76: 157761							

SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF MARCH 18,1977

SEQ. NO.	PROJ. CODE	CONTRACT NUMBER	DESCRIPTION OF CONTRACT	CONTRACTOR NAME, LOCATION, AND TYPE, START AND END DATES		PROJECT MONITOR & ORGANIZATION	OBLIG. DOLLARS
5. EDUCATION FOR THE HANDICAPPED							
53001		OEC-0-73-7030	AN ASSESSMENT OF THE AVAILABLE RESOURCES FOR SERVICES TO SEVERELY HANDICAPPED CHILDREN	ABT ASSOCIATES CAMBRIDGE MASS. 6/30/73 TO 6/30/76	(P)	MARONEY OPBE	341122
COMPLETED--REPORT AVAILABLE							
FUNDING HISTORY, FY 73:		291187					
74:		4941					
75:		12337					
76:		32657					
56001		300-76-0017	AN ASSESSMENT OF CENTERS SUPPORTED UNDER THE EDUCATION OF THE HANDICAPPED ACT	ABT ASSOCIATES CAMBRIDGE MASS. 7/11/75 TO 5/14/76	(P)	KAIRATH OPBE	295276
CANCELLED							
FUNDING HISTORY, FY 76:		295276					

SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF MARCH 18,1977

SEQ. NO.	PRG. CODE	CONTRACT NUMBER	DESCRIPTION OF CONTRACT	CONTRACTOR NAME, LOCATION, AND TYPE, START AND END DATES	PROJECT MONITOR & ORGANIZATION	OBLIG. DOLLARS
6. LIBRARIES AND EDUCATIONAL TECHNOLOGY						
66001		300-76-0464	STUDY OF LIBRARY COOPERATIVE NETWORKS AND DEMONSTRATION PROGRAMS AND PROJECTS	APPLIED MANAGEMENT SCIENCES INC SILVER SPRING, MD. (P) 9/17/76 TO 12/31/77	KIRSCHENBAUM OPBE	209308
FUNDING HISTORY, FY 76: 209308						
66002		300-76-0533	AREA PCP II: MANAGEMENT PLAN	PUBLIC BROADCASTING SERVICE WASHINGTON, D.C. (N) 10/ 1/76 TO 7/31/77	HARRIS OPBE	59750
FUNDING HISTORY, FY 76: 59750						
66003		[illegible]-76-[illegible]43	PROPAGATION ANALYSIS AND COVERAGE CONTOURS	ELECTROMAGNETIC COMP ANAL CENTER ANNAPOLIS, MD. (F) 10/ 1/76 TO 5/31/77	HARRIS OPBE	55250
FUNDING HISTORY, FY 76: 55250						

SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF MARCH 18, 1977

STR. NO.	PRO. CODE	CONTRACT NUMBER	DESCRIPTION OF CONTRACT	CONTRACTOR NAME, LOCATION, AND TYPE, START AND END DATES	PROJECT MONITOR & ORGANIZATION	OBLIG. DOLLARS
B. GENERAL						
85002		300-75-0263 COMPLETED--REPORT AVAILABLE ED127562,3,4 FUNDING HISTORY, FY 75: 240580	ASSESSMENT OF STATE AGENCY COMPONENT OF RIGHT TO READ PROGRAM	APPLIED MANAGEMENT SCIENCES INC SILVER SPRING, MD. (P) 6/ 1/75 TO 6/30/76	HALL OPBE	240580
[illegible]		300-75-0352 ED125161,126559 FUNDING HISTORY, FY 75: 909046 76: 307395	STATE USES OF FEDERAL FUNDS	BOOZ, ALLEN & HAMILTON, INC. WASHINGTON, D.C. (P) 7/ 1/75 TO 6/30/77	SPITZER OPBE	1212445
86001		300-76-0369 FUNDING HISTORY, FY 76: 237767	STUDY OF INFORMATION REQUIREMENTS FOR THE NATIONAL READING IMPROVEMENT PROGRAM (RIGHT TO READ FUNDS)	APPLIED MANAGEMENT SCIENCES INC SILVER SPRING, MD. (P) 7/ 1/76 TO 9/30/77	HALL OPBE	237767
86002		300-76-0397 FUNDING HISTORY, FY 76: 181422	ASSESSMENT OF PROGRAMS AND PROJECTS FUNDED UNDER TITLE IV OF PL 92-318, INDIAN EDUCATION ACT--PART A	COMMUNICATIONS TECHNOLOGY CORP. BETHESDA, MD. (P) 7/15/76 TO 6/15/78	FLEMING OPBE	181422

SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF MARCH 19,1977

SER. NO.	REC. CODE	CONTRACT NUMBER	DESCRIPTION OF CONTRACT	CONTRACTOR NAME, LOCATION, AND TYPE, START AND END DATES	PROJECT MONITOR & ORGANIZATION	OBLIG. DOLLARS
9. MISCELLANEOUS						
00091	COMPLETED	OEC-0-72-5017 (FY72-75)	SUPPORT FOR EDUCATIONAL POLICY RESEARCH CENTER (PRE TAP ONLY)	SYRACUSE UNIV. RESEARCH CORP. SYRACUSE N.Y. (N) 7/ 1/70 TO 9/30/75	AUSTIN ASE	2135832
		FUNDING HISTORY, FY 70: [illegible] 71: 450000 72: 470832 73: [illegible] 74: 265000 75: 295000				
[illegible]		SEVERAL	FIELD READERS, PURCHASE ORDERS UNDER $2500, PRINTING, TRAVEL, ETC.-OPBE (INCLUDES TITLE I, ESEA, & PIPS FUNDS IN FY 76)	MISCELLANEOUS ( ) 7/ 1/69 TO 9/30/76	SEVERAL OPBE	314331
		FUNDING HISTORY, FY 70: 7465 71: 37865 72: 44645 73: 45342 74: 57230 75: 38108 76: 83676				
00237		N.A.	PLANNING AND EVALUATION FUNDS TAPPED FOR USE BY OFFICE OF THE ASSISTANT SECRETARY FOR PLANNING AND EVALUATION--FY 1972-1976	MISCELLANEOUS ( ) 7/ 1/69 TO 9/30/76	N.A.	9671881
		FUNDING HISTORY, FY 70: 1861534 71: 1816784 72: 1662448 73: 1213178 74: 770676 75: 783561 76: 1555750				
01095	COMPLETED	OEC-0-72-5016 (FY72-75)	SUPPORT FOR EDUCATIONAL POLICY RESEARCH CENTER (PRE TAP ONLY)	STANFORD RESEARCH INSTITUTE MENLO PARK, CALIF. (N) 7/ 1/71 TO 9/30/75	AUSTIN ASE	1710000
		FUNDING HISTORY, FY 71: 450000 72: 450000 73: 450000 74: 180000 75: 180000				

SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF MARCH 18, 1977

SEQ. NO.	PROJ. CODE	CONTRACT NUMBER	DESCRIPTION OF CONTRACT	CONTRACTOR NAME, LOCATION, AND TYPE, START AND END DATES	PROJECT MONITOR & ORGANIZATION	OBLIG. DOLLARS
92040		FUNDS TRANSFER	COMPUTER TIME IN SUPPORT OF PLANNING AND EVALUATION PROJECTS	DATA MANAGEMENT CENTER/OS/DHEW WASHINGTON, D.C. (F) 7/ 1/71 TO 9/30/76	DEVER OPPE	671881
FUNDING HISTORY, FY 72: 124000 73: 33581 74: 146800 75: 170000 76: 197500						
94003 COMPLETED		SEVERAL	PURCHASE ORDERS $2500 OR LESS IN SUPPORT OF SCHOOL FINANCE PROJECT FY 1974-6	MISCELLANEOUS ( ) 4/ 1/74 TO 12/ 1/75	SAUNDERS OPPE	12475
FUNDING HISTORY, FY 74: 12475						
95001 COMPLETED--REPORT AVAILABLE		P00-75-0711	A FURTHER STUDY OF ADJUSTMENTS AMONG SCHOOL DISTRICTS IN THE COSTS OF EDUCATIONAL INPUTS	FRAZER, HARVEY E. ANN ARBOR, MICH. (I) 4/15/75 TO 12/31/75	TRON BSS	10000
FUNDING HISTORY, FY 75: 10000						
95002 COMPLETED--REPORT AVAILABLE		P00-75-0362	MEASURING DIFFERENCES AMONG THE FLORIDA SCHOOL DISTRICTS IN THE COST OF EDUCATION; AN ALTERNATIVE APPROACH	GOFFMAN, IRVING GAINESVILLE, FLA. (I) 6/10/75 TO 2/10/76	TRON BSS	5000
FUNDING HISTORY, FY 75: 5000						
95003 COMPLETED--REPORT AVAILABLE		P00-75-0321	TEACHER PRICE DIFFERENCES: A STUDY OF INTER-DISTRICT VARIATIONS IN CALIFORNIA	CALIFORNIA, UNIV. OF BERKELEY, CAL. (A) 6/10/75 TO 2/27/76	TRON BSS	8000
FUNDING HISTORY, FY 75: 8000						
95004 CANCELLED		P00-75-0363	AN ANALYSIS OF THE MAINE SCHOOL FINANCE REFORM LAW OF 1973, AS AMENDED	MICHELSON, STEPHEN CAMBRIDGE, MASS. (I) 6/10/75 TO 12/31/76	TRON BSS	5000
FUNDING HISTORY, FY 75: 5000						
95005 COMPLETED--REPORT AVAILABLE		P00-75-0359	AN ANALYSIS OF THE KANSAS SCHOOL DISTRICT EQUALIZATION ACT OF 1973, AS AMENDED	DAICOFF, DARWIN LAWRENCE, KANSAS (I) 6/10/75 TO 12/10/75	TRON BSS	5000
FUNDING HISTORY, FY 75: 5000						
95006		P00-75-[illegible]81	AN ANALYSIS OF THE WISCONSIN SCHOOL FINANCE LAW OF 1973, AS AMENDED	HANSEN, LEE MADISON, WIS. (I) 6/12/75 TO 6/30/77	TRON BSS	5000
FUNDING HISTORY, FY 75: 5000						

SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF MARCH 18,1977

SER. NO.	PROG. CODE	CONTRACT NUMBER	DESCRIPTION OF CONTRACT	CONTRACTOR NAME, LOCATION, AND TYPE, START AND END DATES		PROJECT MONITOR & ORGANIZATION	OBLIG. DOLLARS
95007		P00-75-0364	AN ANALYSIS OF THE MICHIGAN SCHOOL DISTRICT EQUALIZATION ACT OF 1973	BRAZER, HARVEY E. ANN ARBOR, MICH. 6/12/75 TO 6/30/77	(I)	TRON BSS	5000
FUNDING HISTORY, FY 75:		5000					
95008		P00-75-1417	PROBLEMS AND OPPORTUNITIES FOR SCHOOL FINANCE POSED BY DECLINING ENROLLMENTS: A SURVEY OF THE STATES AND SELECTED SCHOOL DISTRICTS	SYRACUSE UNIV. RESEARCH CORP. SYRACUSE N.Y. 6/12/75 TO 6/30/77	(N)	TRON BSS	10000
FUNDING HISTORY, FY 75:		10000					
95110		P00-75-0365	A STUDY OF THE SCHOOL FINANCE PROBLEMS AND OPPORTUNITIES POSED DECLINING ENROLLMENTS IN ILLINOIS	HICKROD, G. ALAN BLOOMINGTON-NORMAL, ILL. 6/13/75 TO 1/13/76	(I)	TRON BSS	4500
COMPLETED--REPORT AVAILABLE							
FUNDING HISTORY, FY 75:		4500					

SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF MARCH 18, 1977

SEQ. NO.	PROG. CODE	CONTRACT NUMBER	DESCRIPTION OF CONTRACT	CONTRACTOR NAME, LOCATION, AND TYPE, START AND END DATES	PROJECT MONITOR & ORGANIZATION	OBLIG. DOLLARS

APPENDIX B

PROGRESS REPORT ON THE IMPLEMENTATION OF NEW ESEA TITLE I EVALUATION REQUIREMENTS

PROGRESS REPORT ON THE IMPLEMENTATION OF NEW ESEA TITLE I EVALUATION REQUIREMENTS

Legislation:	Expiration Date:
Section 151 of Title I of the Elementary and Secondary Education Act of 1965, as amended	June 30, 1978

Funding History	Year	Authorization	Appropriation*
	1975	$9,380,000	$1,400,000
	1976	9,500,000	3,250,000
	1977	10,250,000	3,750,000

Program Goals and Objectives:

Section 151 of ESEA Title I lists specific activities required of the Commissioner. The subsections of Section 151 can be summarized as follows:

"The Commissioner shall

(a) provide for independent evaluations which describe and measure the impact of programs and projects assisted under this title ...

(b) develop and publish standards for evaluation of program or project effectiveness ...

(c) where appropriate, consult with State agencies in order to provide for jointly sponsored objective evaluation studies ...

(d) provide to State educational agencies, models for evaluations of all programs conducted under this title ... which shall include uniform procedures and criteria to be utilized by local educational agencies, as well as by the State agency.

(e) provide such technical and other assistance as may be necessary to State educational agencies to enable them to assist local educational agencies in the development and application of a systematic evaluation of programs in accordance with the models developed by the Commissioner.

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* Subsection (i) of Section 151 authorizes the Commissioner of Education to expend up to one-half of one percent of the funds appropriated for the Title I program to carry out the provisions of Section 151. For fiscal years 1975, 76, and 77, $5,000,000 of the Section 151 appropriation has been used by the National Institute of Education to conduct their study mandated by Section 821 of Public Law 93-380. The appropriation figures for USOE reflect that reduction.

(f) develop a system for the gathering and dissemination of results of evaluations and for the identification of exemplary programs.

Subsection (f) of Section 151 describes the models further as specifying "objective criteria" and outlining techniques and methodology" for producing data which are comparable on a statewide and nationwide basis." Subsection (g) requires a periodic report on the activities of this Section.

The goals of this evaluation program follow closely the requirements of the Section and the guidance offered in hearings during its passage and the passage of related legislation (H.R. 69). The goals can be stated as follows:

(1) to upgrade and standardize local and State evaluation and reporting practices to yield comparable data nationwide;

(2) to develop and implement a system of evaluation models as the structure for ensuring such comparability;

(3) to provide such technical and other assistance as necessary to enable States to adopt the models and to further their adoption --- or modifications of them necessary in individual sites --- in their local school districts;

(4) to evaluate the program nationally; and

(5) to disseminate information about effective practices as identified and validated through any of the above activities.

Program Operations

A variety of activities have been undertaken to fulfill the goals and objectives listed above. They are described below under five main categories: (1) the proposed evaluation system, (2) the technical assistance program to support its adoption, (3) specific implementation projects, (4) national evaluations, and (5) the dissemination of information about exemplary Title I activities.

(1) The Proposed evaluation system

The Office of Planning, Budgeting, and Evaluation has several times tried to use data in State annual evaluation as a source of information about program practices and impacts (Wargo, *et al*., American Institutes for Research, 1972). Those efforts were frustrated by the questionable validity and lack of comparability in the reports, and a project was undertaken in June, 1974 to remedy the situation. Specifically, the Contractor (RMC Research Corporation of Mountain View, California) was to

(1) interview policy makers in both the Executive Branch and Congress to determine their information needs;

(2) review four years' worth of State Annual Evaluation Reports (for FY 71, 72, 73, 74);

(3) draw conclusions if possible about the Title I program;

(4) assess the degree to which common reporting practices might be adopted nationwide to serve policy-makers' needs;

(5) recommend some such practices; and

(6) check the feasibility of the suggestions with administrators and evaluators in a small sample of states.

This developmental effort was completed, and a project was begun to visit all States and territories as well as three local school districts in each to discuss the newly developed prototype system and its implications.

Throughout both projects two advisory groups have been relied upon for recommendations and feedback. One panel, the Policy Advisory Group, consisted of State Title I program administrators, State evaluators, local program administrators, local evaluators, parents, and representatives from both the National Advisory Council on the Education of Disadvantaged Children and the Council of Chief State School Officers.

The second panel, the Research Advisory Group, included nationally recognized experts in the areas of evaluation methodology, measurement, and criterion-referenced tests. They have reacted to plans, suggested changes, and provided advice through all phases of the work.

Such input has also been solicited from State and local administrators during the site visits. The most frequent suggestion from them has dealt with definitions of terms such as "project" and "project cost." Other problems have been identified regarding testing schedules and the volume of data reduction required at the State level. Changes have been made in the system, when possible, to address these concerns.

The currently proposed evaluation system has the main features shown on Table I. The system consists of three evaluation models which can incorporate data from achievement tests with or without national norms. Each model compares the growth of the Title I project children to that of a different group of children: (a) in one case, that comparison group is the children in a test publisher's norming sample who scored the same as the project participants (hence, the model is called "Norm-referenced); (b) a second alternative is the use of a local comparison group of children who are like Title I participants but who receive no compensatory services (the "Control Group" model); (c) a third possibility is the use of a local group of children who are not like the Title I participants in that they all scored higher on a pretest (the "Regression Approach"). These three models are most amenable to the evaluation of project outcomes in regular school projects aimed at raising children's performance in the basic skills. Developmental work is underway to formulate evaluation models for migrant education projects and for projects serving neglected or delinquent children. Those efforts are being performed in conjunction with national evaluations of those programs and are discussed in that later section.

Developmental work is also underway to formulate evaluation models and a reporting system documenting the provision of supportive, non-instructional services to Title I children. A national reporting system for documenting the nature and extent of such services in Title I programs is being developed and field tested in 25 communities. It will be concerned with non-instructional services delivered to children: health, dental, nutrition, and psychological and social services, including guidance and counseling. Evaluation models and procedures appropriate for use by local education agencies in their own evaluation efforts are being developed and will be made available to them.

In addition, case studies will be conducted in each of the 25 communities participating in the field test. These will examine such questions as how needs are determined, what factors influence whether a community spends its Title I monies on non-instructional services, etc. A report of the case studies, and a handbook describing the models and reporting system will be available in September 1977.

Various State and local project personnel have requested that evaluation models be developed for assessing the effects of early childhood activities. A project to do this will begin in spring, 1977. It will involve interviewing project administrators and evaluators whose Title I activities concentrate on the younger children, formulating some recommendations, and getting feedback from the project people about the feasibility and usefulness of the recommended procedures.

An effort is also underway to develop models for assessing children's affective or socio-emotional development. Various types of those characteristics, measurement instruments, and analysis methods are being described in a user-oriented evaluation handbook. Whereas the evaluation approach may vary according to project goals in this area and data reported may not be easily aggregated beyond a tabulation of projects attempting-versus-achieving such objectives, the provision of advice regarding valid methods will be helpful in upgrading evaluation practices.

Table 1 Summary of the Main Features of the Title I Evaluation System

Features of model designed for regular district programs stressing
- basic skills information reported on test scores, cost, numbers of participants, hours per week of instruction, parent activities, and teacher training
- LEAs/SEAs have choice of three evaluation models
- LEAs/SEAs have choice of basic skill tests (including criterion-referenced)
- test scores are converted to a common scale so that results can be compared and aggregated
- detailed but relatively simple procedures and formats are prescribed for LEAs/SEAs to use in reporting results

Timing
- final decisions on details of models in winter, 1977
- proposed rules in spring, 1977
- technical training of SEAs in fall of 1976 and continuing
- final regulations in fall of 1977
- LEAs first implement models in school year 1978-79
- first use of data in SEA reports to OE in November, 1979

Responsibilities

LEAs
- choose evaluation model and test instrument
- purchase tests and arrange for testing and other data collection
- insure that correct data gathering procedures are followed:
  e.g., tests are administered at correct time and under correct and uniform conditions; all appropriate children are tested
- score tests or have them scored
- report results to SEA in appropriate format

SEAs
- provide technical assistance to LEAs directly or through Technical Assistance Centers
- verify accuracy of LEA reports
- aggregate data and report results to OE

OE
- develop and modify models as necessary
- issue regulations
- publish technical assistance materials
- provide technical assistance to SEAs, directly or through Technical Assistance Centers
- verify accuracy of SEA reports
- aggregate data and report results to Congress

Each of the three currently available evaluation models -- and any alternative which may be approved for use in specific sites -- provides an answer to two questions: (1) how much did the Title I children improve their performance between pretest and posttest and (2) how much would they have improved anyhow (due to maturation, regular school classes, greater familiarity with standardized testing situations, etc.). Hence, all models will have at least two things in common: (1) the necessity of pretest and posttest information and (2) the necessity of that same information about a comparison group for estimating a "baseline" for the Title I children's growth without a project.

That second necessity is the one which will impose the most constraints on evaluation practices. For example, if a project chooses to use Model A, the norm-referenced approach, it will be relying on a publisher's norm group for the "baseline" and will need the same pretest - posttest information on project participants as the test has for its norming sample. That is, if test scores are available for October and May for the norming sample, that is when they must be collected from the project children. Hence, a major implementation problem with Model A is adherence to a schedule in which pre-and posttests correspond to the norm dates of the test.

Reliance on a local group of children similar to those in the Title I project for answering question (2) above removes the test schedule constraint but necessitates others regarding the similarity of the two groups of children and the withholding of compensatory services from the comparison group of supposedly equally needy children. (There is one current project design which is amenable to evaluation via Model B, however. In that particular type of project, the educational approach is an intensive, short-term one. Children are identified for Title I; one-half are chosen at random to receive the project first (the first semester, for example); the other half receives the project second. Under this project schedule, the children designated to receive the services second act as a control group for those served first.)

Reliance on a local group of children completely dissimilar from the project participants avoids the timing and withholding of services constraints but introduces one of group size. Because a regression line to predict posttest scores based on a distribution of pretest ones is used to estimate the project children's performance without a project, that line must be based on a sufficient number of children to be adequately stable and accurate. A rule-of-thumb estimate, given a typical test reliability, is that approximately 60 children in the comparison group will be adequate for generating a valid baseline expectation for the Title I project participants. (Of course, this is just a ballpark figure; if the pretest - posttest correlation is especially high, data from fewer children could generate an adequate regression line.)

Despite the various constraints necessary to make each model valid, the provision of three alternative approaches -- each accommodating various types of test scores -- will make the system usable in most situations. As exceptions arise, however, States can propose an alternative which will then be judged as to its methodological validity and its ability to generate data comparable to that of the regular evaluation system. If it is found to be adequate in both regards, it can then be used instead of one of the three described above.

Since a variety of tests and comparison groups can be used to evaluate project outcomes, these data must be converted to a single metric in order to be comparable. The metric to be used is one of "Normal Curve Equivalents," a scale ranging from 0 to 99, with a midpoint of 50 and a standard deviation of 21.06. Results from all evaluations, regardless of the model chosen or test used, can be expressed in terms of this one scale. They then become aggregatable and comparable "on a statewide and nationwide basis" (ESEA, Title I, Section 151, subsection (f)).

Data are collected and compiled at the local level, reported to a central school district, aggregated further, and reported to the State. The State then aggregates project gains across project within grade level and tabulates specific project characteristics and outcomes. That means that the State report will contain project outcome data of two types: (1) statewide by grade and (2) project specific by descriptors (size of gain, enrollment, instruction: student ratios, etc.). It will also contain descriptive data such as the number of public and non-public students served, the type of instructor/aide training, the activities undertaken by Parent Advisory Councils, etc.

A system of forms and instructions for implementing each model has also been developed. Some States have indicated that they will adopt the forms for collecting the necessary information from their school districts; others will simply modify their current forms, especially in those cases where a consolidated form is used for locals to report on all State or federal programs. States may also augment the required information with other data necessary for their own administrative activities.

(2) The technical assistance program

As required in Section 151, there is a technical assistance program underway to help States facilitate implementation of the evaluation system by their local school districts. The program has three components: workshops for State administrators and evaluators, publications, and free consulting services from USOE staff and from Technical Assistance Centers established for this purpose.

The first set of workshops were given the fall of 1976 for three days each in ten locations. The curriculum included detailed presentation of each model, general discussions of typical test and measurement issues, sessions on the interpretation of findings, and work periods for doing examples. Each participant was given sets of materials and videotapes to help him give the workshops to school district personnel in his State.

The publications series consists of practical handbooks in various areas of evaluation. Two are available from the Government Printing Office: A Practical Guide to Measuring Project Impact on Student Achievement (document 017-080-01460) and A Procedural Guide for Validating Achievement Gains (document 017-080-01516). They establish a series of decisions to be made in planning and conducting an evaluation or in validating the results of evaluations, respectively. Available almost a year, the first of the series has sold over 8000 copies; the second has sold 3000 in four months.

Others in the series will address the problems of assessing children's affective development, of examining achievement tests for bias, of evaluating projects for handicapped children, of using criterion-referenced tests, of estimating standard project costs, and of measuring parent satisfaction with projects. They will become available throughout the next year.

The Technical Assistance Centers were established under contract to the Office of Education to provide services on call to States as they implement the evaluation system. There is one Center to serve each of the ten DHEW regions. Center personnel will establish agreements with their client States as to the best way to proceed -- to respond to requests directly from local school districts, to deal only with State personnel, etc.

Regardless of the nature of the relationship in each State, the center personnel will be available to assist States in giving workshops, to modify existing software on the models for use with specific computers, to help analyze data, to design an alternative model if necessary, etc. Personnel from the Technical Assistance Centers attended the training workshops and began providing services in October, 1976.

(3) Specific implementation projects

The school year of 1976-77 is very important for getting the new evaluation system "off the ground." Staff members in the Office of Planning, Budgeting, and Evaluation as well as in the Division of Education for the Disadvantaged have been very active in encouraging States and locals to adopt the models before any mandate is established. Their efforts have been successful in many sites, and a field test or implementation study is underway in those settings.

Organized and conducted in-house, the study will involve documenting the problems and solutions of using the models and reporting the data. Several States have mandated use of the system statewide; several have organized implementation in a selected group of their school districts; several have encouraged any local effort possible. Hence, there will be many configurations to examine, and different types of experiences to document.

Also, the participants in the study should represent a range of implementation difficulties such as language problems, high turn-over of students, etc. The products from such an implementation study will be (1) a set of case studies detailing projects' experiences in using the evaluation models and (2) a set of State annual evaluation reports which are based on their having used the procedures. Together they will provide qualitative and procedural information to describe the implementation process and "hard data" on which OPBE can use and refine its data analysis software. The target date for having both types of information assimilated is August, 1977.

Another activity to facilitate the implementation of the models is the publication of a newsletter to be sent to all States and school districts nationwide. It will describe activities at the Federal level and encourage readers to submit questions, etc. for an ongoing dialogue. Also as part of that dialogue, there will be an "SEA column" and an "LEA column" for different authors each edition to describe their experiences in choosing a model, or modifying one to meet individual needs, or explaining it to interested parties. Occasionally a parent will be invited to write an article about his or her experiences reviewing evaluation reports, etc. The newsletter will be published quarterly and will be informative in a somewhat informal tone.

A major project underway in-house is the drafting of regulations to require use of the standard evaluation models or an approved alternative. Initial analysis of Section 151 and discussions with USOE Title I program administrators have suggested that regulations are appropriate. The intent is to keep them brief and simple.

As formulated in outline form now, there would be requirements affecting States at two points annually in their administrative cycle: (1) in approving project applications from their LEA's, they would need to be assured that evaluation of that project's cognitive components would follow one of the approved models, and (2) in their annual evaluation report to the Commissioner (as required in Section 142(a)(3)), they would have to aggregate information from their LEAs' reports in the specified manner.

Such requirements will be published as proposed rules in the Federal Register as soon as possible, according to the Secretary's new procedures for developing and publishing regulations. After discussion of issues identified in a Notice of Intent, proposed rules will appear in the spring of 1977. Following the period of comment and revision, final regulations could possibly appear in the fall of 1977, affecting evaluations of projects for the school year 78-79.

(4) The national evaluations

National studies to describe the provision of Title I services nationwide and the benefits attributable to them provide necessary programmatic information to policy-makers at all levels and complement the activities to upgrade State evaluation capabilities.

The three ongoing national evaluations (only two of which are funded from the Section 151 set-aside) have several objectives in common, whether the target population be children in migrant projects, in institutions for the neglected or delinquent, or in regular schools over a period of a few years. Those common objectives are as follows:

(1) to describe the children chosen for Title I projects and the services they receive (both instructional and non-instructional),

(2) to assess the impacts of those services on their cognitive and attitudinal development,

(3) to examine the relationship between program characteristics and student outcomes,

(4) to identify especially effective educational practices

(5) to recommend evaluation models for use in these settings,

(6) to produce user-oriented handbooks for implementation of the models.

Individual studies also have project-specific objectives. For example, one goal of the evaluation of the Title I migrant education project is a validation of the data in the Migrant Student Record Transfer System for State allocation purposes. Similarly, the Study of the Sustaining Effects will address the additional objective of determining the most effective sequencing of different types of educational experiences for low-achieving students*. Each of the three national evaluations is described more in detail under the respective programs -- the migrant portion of Title I, the program for the neglected or delinquent, and the regular local school district program. Table 2 on the following page summarizes their objectives and relationship to the other activities in Section 151.

Table 2 Overview of Title I National Program Evaluations

Projects	Objectives:	Measure Cognitive Growth	Measure Affective Growth	Describe All Services	Produce Eval. Models	Produce Eval. Handbooks	Other
1. Evaluation, Neglected or Delinquent Program		x	x	x	x	x	
2. Evaluation, Migrant Education Program		x	x	x	x	x	(1)
3. Evaluation, Sustaining Effects of Compensatory Education		x	x	x		x	(2)

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(1) Validate the Migrant Student Record Transfer System

(2) Produce reports to respond to GEPA 417 (a)(2) about the numbers of educationally and/or economically disadvantaged children who do and do not receive Title I services.

(5) Dissemination of information about effective practices

Effective educational practices in Title I projects continue to be identified and validated through (1) discovery in national studies and (2) self-nomination and approval by a joint USOE/NIE review panel. When the evaluation models are implemented and data from all projects are comparable at State and federal levels, the identification of exemplary projects can become more systematic.

Thus far, two separate validation and dissemination cycles in the Project Information Packages (PIP's) program have included six Title I projects each. (For more details about the PIP's, see the Evaluation Report on the Packaging and Dissemination Program). As more projects are identified through the three possible vehicles (discovery in a national evaluation, self-nomination, or identification from State and local evaluation reports), information about the specific educational activities will be widely disseminated.

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* A survey incorporated into this study will also produce the report required in GEPA 417(a)(2) regarding the numbers of economically and/or educationally disadvantaged children who do and do not receive compensatory education services.

APPENDIX C

STATUS FOR FY 1976 OF MANDATED REPORTS AND DUE DATES

APPENDIX C

STATUS OF CONGRESSIONAL MANDATED REPORTS AND DUE DATES - FY '76

TITLE	STATUS	DUE DATE
ESAA Report - Federal Assistance to Desegregating School Districts	Report delivered to Congress May and Sept. 1976	semiannually: March 1976 September 1976
SAFA Report - Report to Congress on PL-81-874 and PL-81-815	Report delivered to Congress February 1976	June 30, annually
Catalog of Federal Education Assistance Programs	Report delivered to Congress November 1976	June 30, annually
Status of OE Advisory Committees and Councils	Report delivered Aug 1976, with Commissioner's Annual Report	June 30, annually
Annual Report of the U.S. Commissioner of Education	Report delivered to Congress August 1976	June 30, annually
Title I Impact Evaluation	Report delivered May 1976 as part of the Annual Evaluation Report	Nov. 1, annually
Status of Bilingual Education	Report delivered to Congress Dec. 1976	Nov. 1, 1976 Feb. 1, 1978
Expenditures of Appropriations (Education Innovation & Support)	Report delivered to Congress April 1976	March 1, annually
Status of Career Education	Report delivered to Congress May 1976	Once only

Appendix C, continued

TITLE	STATUS	DUE DATE
Women's Education Equity (Sex Discrimination in Education)	Report delivered to Congress Sept. 1976	Sept. 30, annually
Annual Evaluation Report	Report delivered to Congress May 1976	Nov. 1, annually
Renewal Evaluation Reports	Report delivered to Congress Sept. 1976	One year prior to program expiration
Evaluation of SEA Right to Read Programs	Report delivered to Congress with Annual Evaluation Report	March 31, annually
Late Funding of Elementary and Secondary Education Programs	Report delivered to Congress March 1976	Once only
Status of Bilingual Vocational Training	Report delivered to Congress Dec. 1976	Annually
State Reports on Uses of Federal Funds	Report delivered to Congress July 1976	March 31, annually
OE Personnel Requirements	Report delivered to Congress Feb. 1976	Feb. 1, annually

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